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ABSTRACT

Columbia University's faculty handbook is designed as a general guide to the organization and operation of the university. The chief administrative units and their duties are detailed as are the conditions of appointment and general personnel policy including salaries, promotions, tenure, termination, and fringe benefits. Faculty obligations and responsibilities are outlined and the institutional facilities and services available to them are enumerated. The appendices include specific university policies on professional ethics and faculty obligations; code of academic freedom and tenure; externally funded research and instruction; conflict of interest; and the resolution concerning disclosure of hiring and promotional information. (JMF)

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The Faculty Handbook of Columbia University 1975

HE 007 342

U S DEPARTMENT OF HEALTH,
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NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

To the Faculty and Staff of Columbia University

In a large and diverse institution it is essential to maintain a large degree of procedural uniformity. The Columbia Faculty Handbook *is designed to provide a guide to accepted procedures and practices, as well as a helpful source of information about Columbia's history and organization. It offers carefully written interpretations and explanations of our Statutes and other rules, as well as the regulations we have devised for governing the life of this academic community.*

We had hoped to issue an updated edition of the Handbook *long before now. The demands posed by growth and change in a period of great ferment in higher education would appear to justify publication of revisions every few months. While this objective is not really practical, we have made every effort in the current edition to assure that faculty, old and new, will find useful and important information on the traditional practices and professional standards observed in this University.*

Educational policy cannot of course be determined by any set of guidelines, however elastic. It continues to be true that an institution of higher education lives and grows only through imagination, innovation, and continuing self-examination applied to the standards of excellence we all cherish.

The many members of the Columbia faculty and administration who contributed to the contents of this new edition of the Handbook *trust that readers will find it useful and informative.*

President

The
Faculty
Handbook
1975

Columbia University

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I. Introduction

This *Handbook* is intended as a general guide to the organization and operation of Columbia University. Although it seeks to be comprehensive, it necessarily summarizes or describes generally a number of complex subjects. It is not intended to be definitive in all areas. For definitive information, faculty members should refer to more formal and detailed statements of University regulations and policies to be found elsewhere. These include the Charter and the Statutes of the University, the stated rules of the faculties, and the by-laws of the departments, as well as the contractual and other documents governing pension, medical, and other benefits. Copies of such documents are available for inspection and use at the Office of the Secretary and the Office of the Vice President for Personnel Management. In cases of inconsistency between the *Handbook* and an express statement elsewhere, the express statement will control.

This *Handbook* speaks as of the date of its issuance. The Charter and Statutes and other governing documents of the University are subject to amendment, and other matters summarized in the *Handbook* may change after its issuance.

Several of the areas described, such as group insurance plans and retirement benefits, will have tax or legal implications for faculty members. The University cannot give legal or tax advice to individual faculty members on their particular circumstances, and each faculty member should consult a personal lawyer or accountant if such advice is needed.

► EDUCATIONAL POLICY

Columbia's role is that of education for excellence—a term that embraces superior teaching and the furtherance of knowledge through research, pre-eminence in the professions, and leadership in community and national affairs. Columbia's status as a private institution, its location, its faculty, and its reputation provide the basis for this diversified but single-minded educational purpose.

As a private institution, Columbia expands its offerings or enlarges its student body as its judgment of national needs suggests and its resources permit. Standards will always take precedence over pressure for expansion in one or another division of the University, and the decision to expand will always be controlled by a careful estimate of the available supply of high talent in the country's student constituency and scholarly professions.

Columbia has no need and no obligation to offer education in all fields of learning, beyond the requirements of broad liberal undergraduate education. Its graduate and professional training should be concentrated in those areas where geographical and related factors enable it to perform in a superior way.

Columbia is committed to the view that the educational process involves far more than auditing lectures and receiving information. Hence, Columbia strives to maintain its tradition of small classes, rather than to use its resources upon experiments in mass instruction by mechanical or other means.

Columbia builds on present foundations to become an increasingly great international center of scholarship. Outstanding foreign students will continue to come to the University as they have in the past. Equally important are the scholars of international distinction brought here to teach and to exchange their findings and views with American scholars from Columbia and elsewhere. In this role, Columbia is enabled to add depth and breadth to its own scholarship, to increase its stature as a world intellectual center, and, incidentally, to help demonstrate that America knows how to learn from other nations.

► BRIEF HISTORY OF COLUMBIA

Like most American universities, Columbia grew out of a college establishment. It was in 1754 that George II granted a charter to a group of New York citizens for the founding of King's College, dedicated to instruction in "the Learned Languages and the Liberal Arts and Sciences."

King's College stood for nearly a century in downtown Manhattan, close to the present site of City Hall. Among its early students were such later notables of the Revolutionary period as Alexander Hamilton, John Jay, Robert Livingston, and Gouverneur Morris. The war itself interrupted the work of the College, both the British and American troops using its buildings in turn. When it was over, a new state charter gave the College its new name of Columbia.

With the growth of the city in the nineteenth century, Columbia College moved to 49th Street and Madison Avenue, a temporary site from which it planned to move again to the land now occupied by Rockefeller Center. But from 1857 to 1897 the College stayed on Madison Avenue, adding to its body one after the other a number of professional schools and the nonprofessional graduate faculties. By 1896 Columbia was in fact a University and the Trustees authorized the use of that title.

The several schools moved to Morningside Heights the following year, and under the presidency of Nicholas Murray Butler, which began in 1901, the University rapidly grew in size and national importance. The state of New York formally recognized its University status in 1912.

CHRONOLOGY OF THE DIVISIONS OF THE COLUMBIA CORPORATION

1754 King's College (1784, name changed to Columbia College; 1912, became Columbia University in the City of New York)

1767 School of Medicine (1814, disaffiliated and merged with College of Physicians and Surgeons; 1860, informal reaffiliation; 1891, College of Physicians and Surgeons became the Medical Department of Columbia; now the Faculty of Medicine)

1858 School of Law

1864 School of Mines (now the School of Engineering and Applied Science)

1880–1892 Graduate Faculties (1880, Political Science; 1890, Philosophy; 1892, Pure Science; now the Graduate School of Arts and Sciences)

1887 School of Library Economy founded independently (1926, incorporated in the University and became School of Library Service)

1896 School of Architecture (1973, became Graduate School of Architecture and Planning)

1898 New York School of Social Work founded independently (1940, became affiliated with Columbia University; 1959, incorporated in the University; 1963, became Columbia University School of Social Work)

1900 Summer Session

1904 University Extension (1947, became School of General Studies)

1912 School of Journalism (1935, became Graduate School of Journalism)

1916 School of Business (1949, became Graduate School of Business)

1917 School of Dental and Oral Surgery

1921 Institute of Public Health (1955, became School of Public Health and Administrative Medicine, 1972, School of Public Health)

1931 Parker School of Foreign and Comparative Law

1946 School of International Affairs

1948 School of Dramatic Arts; School of Painting and Sculpture (1958, became Program in the Arts, 1965, School of the Arts)

With the University are affiliated the following institutions, listed in the order of date of affiliation. Under the terms of the individual affiliation agreements, the affiliates and the University share certain facilities, affiliate faculty members may have University titles, and their graduates may receive Columbia degrees. The affiliates are governed by their own Trustees and retain responsibility for their own finances, endowment, and buildings. The dates of the independent foundings of the affiliated institutions are in parentheses.

1898 Teachers College (1889)

1900 Barnard College (1889)

1904 College of Pharmacy (1829) (now College of Pharmaceutical Sciences; affiliation will terminate June 30, 1976)

1928 Union Theological Seminary (1834)

The relationship with Barnard College is particularly close. Under the terms of the current affiliation agreement, the position of Barnard as the women's undergraduate liberal arts college of the University is reaffirmed. In addition, the agreement provides for close cooperation to enhance the quality of undergraduate education and to increase coeducation through common access to course offerings and faculty, and joint use of the facilities of the two institutions. The agreement is directed toward closer integration without assimilation, based on comparable academic standards for students and faculty together with an equitable sharing of costs by both institutions.

With the University are affiliated the following hospitals:

1900 The Roosevelt Hospital (1864)

1921 The Presbyterian Hospital in the City of New York (1868)

1924 New York State Psychiatric Institute (1924)

1941 Francis Delafield Hospital (1941)

1947 St. Luke's Hospital Center (1850)

1947 Mary Imogene Bassett Hospital (1947)

1961 Harlem Hospital Center (1887)

The early records of the University together with documents, pictures, and memorabilia are preserved in the Columbiana Collection in 210 Low Memorial Library. A particular feature of the Collection is the King's College Restoration Room.

The University colors are light blue and white.

The University motto is *In Lumine Tuo Videbimus Lumen* (In Thy Light Shall We See Light).

▶ THE UNIVERSITY INSIGNIA

The Seal of Columbia University is reserved for the acts of the Trustees. The Shield, however, may be used by students, alumni, or other affiliated groups as a symbol of identification or decoration. Drawings of the Shield may be obtained from the Office of the Secretary. All requests for the use of the Columbia name, Shield, or Seal, or for photographs, by groups outside of the University, should be directed to the Secretary of the University. Except by special authorization of the Trustees, the King's Crown is reserved for use by Columbia College.

II. Organization of the University

The official corporate name of the University is The Trustees of Columbia University in The City of New York. Within the corporation are the following faculties: Architecture and Planning, Arts, Business, Columbia College, Dental and Oral Surgery, Engineering and Applied Science, General Studies, International Affairs, Journalism, Law, Library Service, Medicine, Philosophy, Political Science, Pure Science, and Social Work. There are seventy departments and schools within sixteen faculties offering courses of instruction.

The Faculties of Political Science, Philosophy, and Pure Science comprise the Graduate School of Arts and Sciences. Other faculties of the University offering graduate study are known as "the professional faculties" or the "professional schools." However, some of these faculties, notably Engineering and Applied Science, Architecture and Planning, and Arts, offer work for which undergraduates may, under certain conditions, register.

The four Administrative Boards—the Summer Session, the Parker School of Foreign and Comparative Law, the Administrative Board for the Master of Arts in Teaching, and the doctoral program subcommittees of the Executive Committee of the Graduate School of Arts and Sciences—offer programs, some of which may be taken during the Summer Session and some of which may be interdepartmental or interdisciplinary in scope. The courses for the programs of the Administrative Boards are given through the departments, which are responsible for instruction throughout the University.

► UNIVERSITY STATUTES, STATED RULES, AND BY-LAWS

The Statutes of the University enumerate its constituent parts and define in general terms their nature and scope, as well as the duties and prerogatives of its officers and students. The By-laws of the Trustees define the procedures adopted by the Trustees for their own work. The Statutes are printed and distributed to administrative offices. To follow up references to the Statutes which are made in this *Handbook*, a copy of the Statutes may be consulted in the Office of the Secretary of the University or in the office of the appropriate dean or department chairman.

Each faculty functions under stated rules of its own determination, and each department functions under by-laws of its own choosing, which govern their operations and specify the procedures for reaching decisions, subject only to the Statutes of the University. The stated rules of every faculty and the by-laws of every department and all proposed changes of them must be approved by the Executive Vice President for Academic Affairs and Provost. Copies of the stated rules and by-laws are available in his office or in the Office of the Secretary.

▶ CHIEF ADMINISTRATIVE UNITS OF THE UNIVERSITY

THE TRUSTEES

Under the terms of the Charter of 1810, the Trustees and their successors "shall forever hereafter have full power and authority to direct and prescribe the course of study, and the discipline to be observed . . . to select and appoint a president . . . and such professor or professors . . . to assist the president in the government and education of the students . . . and such other officer or officers as to the said Trustees shall seem meet, all of whom shall hold their offices during the pleasure of the Trustees . . . they and their successors shall have power to give, grant, bargain, sell, demise or otherwise dispose of, all, or any part of the said real and personal estate, as to them shall seem best for the interest of the said college."

Thus the Trustees have large powers but also have large responsibilities. They raise the funds and manage the properties that enable the University to function. They appoint and sustain a faculty charged with maintaining standards of excellence in teaching and research. The Trustees, of course, delegate to the President, to the University Senate, and to the faculties and departments many of the details of the management of the University, but ultimate responsibility remains theirs.

The Trustees number twenty-four: six Alumni Trustees nominated through the Alumni Trustees Nominating Committee, six nominated by the Executive Committee of the Trustees working with the Executive Committee of the University Senate, and twelve nominated by the Trustees themselves.

THE SENATE

The Trustees on May 13, 1969, authorized the establishment of a University Senate. It replaces and succeeds to the powers of the University Council, which had been the representative body of the University since 1890. Subject to the reserve powers of the Trustees, and the limitations specified in the Statutes, the University Senate has responsibility, as a policy-making body, to consider all matters of University-wide concern and especially matters affecting more than one school.

In particular, the Senate is charged to review the educational policies, physical development, budget, and external relations (especially with fund-granting agencies) of the University. It oversees the academic freedom of faculty members and the welfare of students. It must approve changes in conditions for granting degrees (except for most bachelor's degrees and such advanced degrees as the Juris Doctor, Doctor of Medicine, and Doctor of Dental Surgery. See Section 24b of the Statutes.) The Senate recommends candidates for honors and prizes. It legislates a code of conduct for faculty members, students, and staff; it oversees policies toward the neighboring community, and it promulgates the University calendar.

The University Senate is a unicameral body of 102 members. Membership is as follows: forty-two faculty members without stated term (i.e., with tenure), fifteen faculty members with term appointments, twenty-one Columbia students, and one Barnard student; two Barnard College and two Teachers College faculty members; one faculty member from Union Theological Seminary and one from the College of Pharmaceutical Sciences. Two senators each are elected by the administrative, professional library, and research staffs of the University, and two by the alumni. Nine senators are appointed or ex officio representatives of the University administration.

Perhaps the most important and active of Senate committees are the Executive Committee and those on education, on budget review, and on faculty affairs, academic freedom, and tenure. The committee on faculty affairs, academic freedom, and tenure has the duty to inquire into and mediate faculty grievances, which it normally does by subcommittee; and, in the event that prejudice or violation of academic freedom is alleged, it may, and where an officer of instruction is to be dismissed, it must, designate a formal hearing committee to inquire into the case and to make recommendations to the President and Trustees, in accordance with Chapter VII of the University Statutes (see Appendix II). The subcommittee on housing establishes University policies and priorities in the assignment of University housing for faculty and staff members.

THE PRESIDENT

The President is the Chief Executive Officer of the University and as such has general charge of its affairs, subject to the control of the Trustees.

The selection of a President is made by the Trustees working with the Executive Committee of the University Senate with a view to effecting a common endorsement of the ultimate nominee for the post.

The President presides over the University Senate and he is chairman of every faculty and administrative board established by the Trustees. The President is the channel of communication between the faculties and the Trustees. He appoints department chairmen and nominates deans and directors of institutes, administers discipline in accordance with the Statutes, and grants leaves of absence. He confers academic degrees on candidates recommended by the faculties; he also confers honorary degrees and awards University medals for excellence.

Among the officers of administration who assist the President and report directly to him are the following:

The Director of Development and Alumni Relations is charged with the coordination of all fund-raising in the University and the implementation of development efforts according to priorities established by the Trustees.

The Resident University Counsel is responsible for handling the legal affairs of the University.

The Secretary of the University is the custodian of University documents and records, and is charged with informing the President of the actions of the Trustees, the Senate, and the various faculties and administrative boards. (See also SECRETARY OF THE UNIVERSITY, page 78.)

The Treasurer of the University receives, holds, and manages the University moneys, securities, and other investments.

In the event of death, disability, resignation, or retirement of the President, and pending the selection of a President or an Acting President, the Executive Vice President for Academic Affairs and Provost performs the duties and exercises the authority of the President.

THE EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS AND PROVOST

The Executive Vice President for Academic Affairs and Provost serves under the President as the chief academic officer of the University. On the nomination of the President, the Trustees, working with the Executive Committee of the University Senate, appoint the Executive Vice President for Academic Affairs.

As chief academic officer of the University, the Provost is responsible for developing and implementing a University-wide academic plan and for evaluating all University programs and academic activities. He appoints the members of the *ad hoc* committees that advise him in his recommendations to the President on all nominations for positions without stated term (i.e., with tenure). Under the Affirmative Action Program of the University, the Provost monitors and reviews all appointments of officers of instruction (including visiting and part-time officers), officers of the libraries, and officers of research to ensure their conformity with procedures of the University Affirmative Action Program.

The Provost together with the Executive Vice President for Administration is responsible for recommending to the President the proposed annual budget for presentation to and approval by the Trustees. His office arranges for and records all sabbatical and other leaves of absence granted to officers of instruction and maintains all promotion records for officers of instruction with term appointments.

The Provost is a member and in the absence of the President presides at meetings of all faculties and administrative boards, and he evaluates the annual reports of their deans and directors. He reviews all proposed changes in the stated rules of the faculties and the by-laws of the departments. He oversees the University Libraries, the Office of the Registrar, the Earl Hall–St. Paul's Chapel Center, the intercollegiate athletics program, and the University Seminars. The activities of University Professors are also under his jurisdiction.

The Deputy Vice President for Academic Affairs is a member of all faculties and administrative boards and in the absence of the President and the Provost presides at meetings of the faculties and administrative boards.

The Vice President for Health Sciences is directly responsible to the President in matters of planning and policy affecting the health sciences; he reports to the Provost on academic and budgetary matters. He is in charge of University relations with other institutions concerned with the health (and medical) sciences. The Dean of the Faculty of Medicine and the Dean of the Faculty of Dental and Oral Surgery report to the Provost through the Vice President for Health Sciences on all matters affecting their faculties.

The Vice President for Information Services and University Librarian is responsible for the University Libraries, the University Center for Computing Activities, the Language Laboratory, the Art Properties Office, and the Oral History Research Office; in addition, a reporting relationship is maintained with the Executive Vice President for Administration in regard to administrative data processing services.

THE EXECUTIVE VICE PRESIDENT FOR ADMINISTRATION

The Executive Vice President for Administration is responsible to the President for managing the financial and administrative affairs of the University within the authority granted by the Trustees to the President. Together with the Provost, he recommends to the President the proposed annual budget for presentation to and approval by the Trustees. His duties include the administration of the University budget, the maintenance of the physical facilities of the University, the supervision of the external relations of the University, the operation of University auxiliary services (including dormitories and dining rooms), and the establishment and administration of personnel policies for officers of administration and supporting staff. Three vice presidents report to the Executive Vice President for Administration:

The Vice President for Fiscal Management is responsible for the Office of the Controller, the Office of Projects and Grants, and the Budget Office.

The Vice President for Business is in charge of the Office of Buildings and Grounds, the Residence Halls and Dining Rooms, the Purchasing Office, the Office of the Campus Architect, and the Construction Office.

The Vice President for Personnel Management is responsible for the development and administration of the personnel policies of the University, including benefits administration, non-instructional recruitment and employment, employee relations and wage and salary administration for non-academic employees, in addition to implementation of the University Affirmative Action Program with respect to its officers of administration and supporting staff members.

FACULTIES

The sixteen faculties of Columbia University have been established by action of the Trustees. Each faculty consists of the President, the Executive Vice President for Academic Affairs and Provost, the Deputy Vice President for Academic Affairs, the dean of the respective faculty, and such officers of instruction and of administration as may be assigned to it by the Trustees on the nomination of the faculty. Each faculty functions under stated rules which it has itself adopted subject to the approval of the Provost and limited only by the Charter and Statutes of the University.

MEMBERSHIP IN A FACULTY

The stated rules of each faculty prescribe eligibility for membership in that faculty. In the Graduate School of Arts and Sciences, nominations of officers of instruction to membership in the Faculties of Political Science, Philosophy, and Pure Science are made by each committee on instruction to the Trustees through the Dean. The same procedure is followed by the committee on instruction of the Faculty of International Affairs for the nomination of officers of instruction to membership in that Faculty. In the professional Faculties of Architecture and Planning, Business, Engineering and Applied Science, Journalism, Law, Library Service, Medicine, and Social Work, all professors, associate professors, and assistant professors upon appointment in the University become members of their faculties. Nomination to membership in the Faculties of Columbia College, General Studies, and Dental and Oral Surgery is made to the Trustees by the appropriate dean on behalf of the faculty.

Although the stated rules of the faculties differ and should be consulted in particular cases, the usual practice is for officers of instruction whose appointment in the University is for full-time service, and who teach half time or more within a particular faculty, to be nominated for membership for such time as is provided in the stated rules of that faculty. In addition, provided that the stated rules of the faculty permit, any officer of instruction whose appointment to the University is for part-time service may, after his second consecutive year of such service, be eligible for annual nomination to a faculty during each year of such service.

RIGHT TO VOTE

The Statutes of the University provide that:

> Any faculty or administrative board may invite other officers of administration and instruction and students registered in such faculty or administrative board to participate in its deliberations and in the deliberations of its committees or other subordinate bodies. Subject to such conditions and restrictions as it may determine, a faculty or administrative board may grant such invited individuals the right to vote in decisions of its committees or other subordinate bodies, provided, however, that a majority of the members of any such committees or other subordinate bodies shall be statutory members of the faculty or administrative board; and provided, further, that only statutory members shall have the right to vote in decisions of the full faculty or administrative board. Nothing in this section shall impair the right of the faculty or administrative board to conduct meetings open only to its statutory members. (Section 34 of the University Statutes)

RESPONSIBILITIES AND POWERS

The faculties have great academic independence. Subject to general University policy, each faculty is responsible for setting the academic requirements for admission of students, for establishing programs of studies leading to the various degrees, for setting degree requirements, and for recommending for degrees those students who have successfully fulfilled such requirements. The power to regulate these matters is limited only by the need to submit to the University Senate and the Trustees for their approval all regulations which involve a change in the educational policy of the University with respect to admission requirements, programs of study, or conditions for graduation. However, this limitation does not apply to the granting of most bachelor's degrees and such advanced degrees as the Juris Doctor, Doctor of Medicine, and Doctor of Dental Surgery. (See Section 24b of the Statutes.)

Each faculty establishes rules to ascertain the proficiency of students and to assign honors. It prepares and publishes statements of its programs of studies, specifying the work to be pursued in each year and in each of the departments of instruction offering courses under its jurisdiction.

FACULTY COMMITTEES

Most faculties delegate to their standing committees, such as the committees on instruction, on admissions and financial aid, and on honors, the authority to act for the faculty. There are some important exceptions, however; for example, in the Faculty of Law the entire faculty decides on courses of instruction and on appointments and promotions.

For most faculties the most important committee is the committee on instruction, which holds a continuing charge to evaluate general educational policy, the quality of instruction, and the competence and areas of specialization of the teaching and research staffs. This committee also reviews for the faculty all proposals from the departments for new courses. It refers to the dean, with its recommendations for approval or disapproval, all departmental proposals for persons who are not members of that particular faculty to give instruction within that faculty. It approves on behalf of its faculty the annual announcement of the courses offered by the departments. The committee on instruction (or the committee on honors) reviews recommendations for fellowships, scholarships, honors, prizes, grants-in-aid, and exemptions from academic requirements.

Each committee on instruction is nominated from and elected by the members of its faculty, according to the stated rules of that faculty.

The committee on admissions of a faculty, or of a department when a faculty delegates the responsibility to the departments, sets the standards for admission and acts on the applications for admission.

In the Graduate School of Arts and Sciences, the Executive Committee deals with matters that concern the entire Graduate School. The Executive Committee is composed of the Chairman and two other members from each of the Committees on Instruction of the three faculties, the Dean of the Graduate School of Arts and Sciences, plus such associate and assistant deans as are approved for membership by the faculty members of the Executive Committee. The Executive Committee is responsible on behalf of the Graduate School for the general educational policies of the School, the quality of instruction, and the quality of the teaching and research staffs of the faculties and the doctoral program subcommittees of the Graduate School of Arts and Sciences. It serves as a steering committee for the Graduate School of Arts and Sciences and as an administrative board for all its doctoral program subcommittees; it reviews all nominations to membership-at-large in the three faculties; and it nominates to the Committee on Instruction of the appropriate faculty, for membership-at-large in that faculty, a member of a department from another faculty. The Executive Council is composed of the nine faculty members of the Executive Committee of the Graduate School of Arts and Sciences, six members each from the Faculties of Political Science, Philosophy, and Pure Science, the Dean of the Graduate School of Arts and Sciences, and such associate and assistant deans as are approved by the faculty members of the Executive Council. The Executive Council reviews all matters affecting the general welfare of the faculty members and students of the Graduate School of Arts and Sciences.

In the Faculty of Medicine, all professors, associate professors, and assistant professors become members of their faculty upon appointment in the University. All members of the faculty, through their departments and affiliated hospitals, elect a Faculty Council which is empowered to act for the faculty. The members of the Faculty Council choose from among themselves an Executive Committee which functions for the Council between meetings and selects for their approval the members of the standing committees. These committees are: the Executive Committee, the Curriculum Committee (which has responsibilities similar to those of the committees on instruction), the Admissions Committee, and the Committee on Appointments and Promotions.

DEANS AND DIRECTORS

The chief academic officer of each faculty is the dean. Subject only to the powers of the President and Provost, the dean is responsible for the enforcement of the rules and regulations of his faculty, for administering discipline, for preparing the annual budget proposals to be submitted to the Provost, for maintaining standards of academic excellence and the quality of instruction, for fulfilling the educational needs of students through the courses offered, for the awarding of honors, prizes, and fellowships, and for the counseling of students. Each dean reports to the President on the conditions and needs of his faculty.

The dean must approve the nomination of all new appointments of officers of instruction and proposed salaries within his faculty.

The Dean of the Graduate School of Arts and Sciences has additional responsibilities. He is the representative of the President of the University on all *ad hoc* committees for appointments to positions without stated term (i.e., with tenure) in the University. He is also chairman of the budget subcommittee for the arts and sciences. (The other members of this subcommittee are the Deans of the Faculties of Columbia College, General Studies, and International Affairs.) The subcommittee makes all budgetary recommendations for the arts and sciences departments.

Under the University Statutes the directors of the administrative boards have the same powers and duties as the deans of faculties.

DEPARTMENTS

The seventy departments established by action of the Trustees are the primary academic, administrative, and budgetary units of the University. The relationship between departments and faculties is complex. The twenty-eight arts and sciences departments offer courses of instruction for the Faculties of Columbia College, General Studies, the Graduate School of Arts and Sciences, and International Affairs. The departments of Architecture and Planning, the Arts, Business, Dental and Oral Surgery, Journalism, Law, Library Service, and Social Work are also faculties and function in the dual role of department and faculty. And seven of the twenty-three departments within the Faculty of Medicine and five of the six departments within the Faculty of Engineering and Applied Science are also departments within the Faculty of Pure Science of the Graduate School of Arts and Sciences.

Each department consists of those officers of instruction and administration appointed to give instruction in the department.

Each department functions under its own by-laws, subject to the Statutes of the University and the stated rules of its faculty. All departmental by-laws must be approved by the dean and the Provost.

In general, all full-time officers of instruction in the ranks of professor, associate professor, assistant professor, and instructor are entitled to vote at department meetings. (See Section 40 of the Statutes.) However, the departmental by-laws determine who may vote on particular matters, such as proposals for courses to be offered, nominations for appointments, reappointments, and promotions of officers of instruction, and the academic standing of students in the department. In the faculties of some professional schools, matters of instruction, courses to be offered, and the academic standing of students are the responsibility of the whole faculty.

In the arts and sciences, the courses to be offered are usually proposed by the departments and must then be approved by the committee on instruction of the faculty in which they are to be given. In some of the professional schools, a faculty committee proposes to the faculty the courses to be offered.

Most departments have standing committees (which may or may not include students) on curriculum, recruitment of officers of instruction, admissions and fellowships, and advising of students. Members of the department are regularly expected to serve on these committees as part of their obligation to the department.

THE DEPARTMENT CHAIRMAN

In the Graduate School of Arts and Sciences and in the School of Engineering and Applied Science, departments nominate their chairmen by election. Nominations are then transmitted through the appropriate dean to the President, who appoints the nominee as chairman for a period of three years. In these elections, which are by secret ballot, the officers of instruction who are members of the department, as specified in the departmental by-laws, are entitled to vote. In the rare instances in which it is necessary, in order to meet the administrative or academic obligations of a department or to assure its future intellectual vitality, the Provost may recommend the appointment of a temporary chairman or a committee to assume these responsibilities after consulting knowledgeable persons outside the department or school, or outside the University.

Departmental by-laws usually specify the procedures for selecting a chairman, but it is expected that no election will be held in a department without advance notice and consultation among the senior faculty members, usually through a nominating committee. Some departments ask a senior professor to consult individually with the members. While reelection to the chairmanship is possible, except in small departments rotation of the responsibility is preferable.

In departments that are coextensive with a faculty, the chairman of the department is the dean of the faculty, who is appointed by the Trustees on the nomination of the President.

In the Faculty of Medicine, the chairman of a department is appointed by the President on the nomination of the faculty. The recommendation originates with a search committee appointed by the Provost and must be accepted and approved by the faculty before submission to the President as a formal nomination.

The chairman is the officer through whom the administration and the deans communicate with the department on all academic and administrative matters, and through whom the members of the department inform the administration of the educational needs and goals of the department. The chairman speaks for the department in its relations with other departments and faculties of the University. He or she represents the department in all matters affecting student relations. The chairman calls and presides over all meetings of departments and may consult with the executive or steering committee on such matters as appointments, promotions, the budget, teaching assignments, sponsored research projects, policies governing admission of students, curriculum changes, degree requirements, and matters affecting student-faculty relations.

The chairman negotiates with all persons being considered for appointment (with or without term) to teach in the department, and is required to confirm in writing to the appointee the terms and conditions of each appointment and reappointment at the time such an offer is made, subject to the restrictions specified in Section 72a of the Statutes (see Appendix II). The chairman has responsibility for supervising the work of junior officers and ensuring that they are informally evaluated by senior members of the department well before the time comes for a tenure decision. (See TENURE APPOINTMENTS, pages 23–24.) In addition the chairman has the duty, insofar as possible, to inform the junior officers in the department once a year of the prospective size and recruitment needs of the department (Senate Resolution Concerning Disclosure of Hiring and Promotional Information, adopted December 14, 1973: see Appendix V). The chairman receives all requests for leaves of absence and sends recommendations for leaves through the appropriate dean to the Provost.

The chairman prepares the annual budget proposals for the department, controls expenditure within budget appropriations, and supervises the supporting staff. He or she is also responsible for planning and supervision of the Summer Session offering of the department, including recruitment of summer instructors.

It is the chairman's responsibility to distribute teaching and administrative assignments equitably among the officers of instruction in the department within the guidelines set by the University. Before changing teaching assignments, the chairman should consult with the officer(s) concerned. The chairman approves research proposals submitted by members of the department, and recommends reduced teaching obligations, if required, for officers of instruction engaged on these projects. All officers who engage in projects, either sponsored by the University or arranged for privately, are obliged to inform the chairman of their department of such outside commitments.

It is appropriate for the department to delegate to the chairman "summer powers" which permit him or her to nominate for appointment junior officers of instruction in the department and to cope with emergencies in the absence of the department's executive or steering committee. If the chairman is not in residence during the summer months, he or she must nominate to the Provost through the appropriate dean an acting chairman for that period.

DEPARTMENTAL REPRESENTATIVE

The arts and sciences departments responsible for undergraduate instruction in Columbia College and in the School of General Studies have a departmental representative in each undergraduate division who is appointed by the dean of the division after consultation with the department chairman. The departmental representative usually is a member of the executive or steering committee of his or her department during the three-year term of service. The special duties of the departmental representative include overseeing the undergraduate curriculum, advising students, and acting as a liaison between the department and the respective committee on instruction and the Office of Student Affairs.

ADMINISTRATIVE ASSISTANT

The administrative assistant of the department has charge of the departmental office and its records, is responsible to the chairman for the administrative work of the department, and, in the absence of the chairman, represents the department in all unscheduled contacts with students, visitors, and members of other departments. The administrative assistant sets up and maintains records on student admissions; course requirements; scholarships, fellowships, and grants; and placement. The administrative assistant keeps department records on the budget, on appointments of officers of instruction, reappointments, grants and projects, leaves, promotions, and the like. The administrative assistant selects and purchases furniture, equipment, and supplies needed by the department; provides information on academic matters and department procedures to students and faculty members; and answers inquiries about the department from students, faculty members, other members of the University, and visitors.

SUMMER SESSION

The Summer Session begins soon after Commencement Day and extends almost to the beginning of the autumn term in September. There are two six-week graduate and undergraduate sessions, together with a variety of special courses and sessions ranging in duration from three to thirteen weeks. The administrative board that supervises the Summer Session consists of the Dean, who is appointed by the Trustees on the nomination of the President, the President of the University, the Provost, and other officers of administration and instruction appointed by the Trustees.

The offering of courses by each department for the Summer Session and the appointment of officers of instruction are arranged by the department chairman and his executive committee or by a committee appointed by the chairman, in consultation with the Dean of the Summer Session. The department seeks to ensure that the level of instruction is equal to that given in the autumn and spring terms, and to complement the course offerings of the academic year. As a general rule, work done by a student in the Summer Session is credited toward degree requirements, but the range of courses offered is not as broad as that during the regular terms.

The normal teaching obligation for officers of instruction in any six-week session is six points; compensation is established on a scale announced by the Dean of the Summer Session. Officers are not required to teach during the summer as a condition of their regular appointment, but an agreement to do so is regarded as binding both on the University and on the officer. The rank of the officer is usually the same as that held in the previous academic year.

University regulations that all classes be met and that adequate office hours be maintained are especially pertinent in summer courses. If an officer of instruction cannot meet a class, arrangements for a substitute should be made through the department chairman, who will inform the Summer Session Office. Any change in the hours of class meetings must be approved by the Summer Session Office, and any change in classrooms must be reported to the Summer Session Office after being approved by the Office of the Registrar.

III. Officers of Instruction

► TERMS AND CONDITIONS OF APPOINTMENT

ACADEMIC TITLES AND GRADES OF OFFICE

Officers of instruction may be appointed to the grades of office bearing the following titles:

University Professor
Professor
Professor of clinical (department)
Clinical professor of (department)
Visiting professor
Visiting professor of clinical (department)
Adjunct professor
Associate professor
Associate professor of clinical (department)
Associate clinical professor of (department)
Visiting associate professor
Visiting associate professor of clinical (department)
Adjunct associate professor
Assistant professor
Assistant professor of clinical (department)
Assistant clinical professor of (department)
Visiting assistant professor
Visiting assistant professor of clinical (department)
Adjunct assistant professor
Instructor
Senior lecturer
Lecturer
Special lecturer
Associate
Assistant
Preceptor
Teaching assistant
Reader

Titles in the Faculties of Medicine and Dental and Oral Surgery may be modified by the name of the affiliated hospital or institute which provides the salary support for the appointment. Definitions and usage of these various titles will be found in Chapter VI of the University Statutes.

Officers in the first thirteen grades (through adjunct associate professor) are appointed by the Trustees; those in the next eleven grades (from assistant professor through associate) are appointed by the President; those in the grades of assistant, preceptor, teaching assistant, and reader are appointed by the Secretary. Except for the temporary title of research professor, professorial and other instructional titles may be held only by persons with teaching duties.

A *University Professor* is a senior officer of instruction of the highest academic and scholarly distinction who is appointed from within the ranks of Columbia faculty members. The appointment is made by the Trustees with the affirmative advice of a majority of the members of the Senate Executive Committee holding tenure appointments. There are three University Professors. The scope of the University Professor's service is University-wide; his or her teaching assignment is determined by the chairman of the department in which he or she previously taught, the dean of that faculty, and the Provost of the University.

A *professor* is an officer of instruction who is a mature scholar and teacher of distinction and is appointed by the Trustees for full-time service without stated term (i.e., with tenure). Named professorships are established by the Trustees, usually upon receipt of a special gift; appointments to them are intended to recognize particular distinction. The Jay Professorship of the Greek and Latin Languages, established in 1830, was the first named professorship established at Columbia. In certain instances a term appointment to the rank of professor is permitted. (See page 25, under TERM APPOINTMENT: SEVEN-YEAR RULE.)

A *professor of clinical (department)* is appointed, in the Faculties of Medicine and Dental and Oral Surgery, for full-time or part-time service annually or without stated term and without financial guarantee.

A *clinical professor of (department)* is appointed annually to full-time or part-time service in a department within the Faculty of Medicine or the Faculty of Dental and Oral Surgery or in an affiliated hospital or institute. The clinical qualifications of officers in these grades correspond to those of University officers in the grade of professor.

A *visiting professor* normally teaches at another institution or possesses other professional qualifications and is appointed to give instruction for a stated term of one year or less on a full-time or part-time basis. Similar appointments may be to the grades of *visiting associate professor* and *visiting assistant professor*. The qualifications of teaching and scholarship are the same as required of regular full-time officers of instruction in the University.

An *adjunct professor* is an expert in a special field, appointed annually to give instruction on a part-time or discontinuous basis. These part-time appointments may be in the grades of *adjunct professor, adjunct associate professor,* or *adjunct assistant professor,* depending on the maturity and academic achievement of the candidate. Except with the approval of the President, the grades of adjunct professor, adjunct associate professor, and adjunct assistant professor may be held only by persons who serve the University in no other capacity. Appointments for part-time service may also be to these three grades in a nonclinical department in the Faculties of Medicine and Dental and Oral Surgery, such appointments being for officers whose qualifications correspond to those of University officers in the three grades of professor. Tenure never attaches to the adjunct professor grades; duties include teaching and advising of students but do not include service on department committees.

An *associate professor* is an officer of instruction of demonstrated scholarly and teaching ability who shows great promise of becoming a scholar of distinction. Associate professor is the first grade to which appointments are made by the Trustees for full-time service without stated term (i.e., with tenure). Except in the Faculty of Law, appointment to the grade of associate professor with tenure requires a review by an *ad hoc* committee to insure that the same standards are applied with regard to all appointments in the University so as to maintain a faculty of comparable quality and distinction. (See TENURE APPOINTMENTS, pages 23–24.) In certain instances a term appointment to this rank is permitted. (See page 25, under TERM APPOINTMENT: SEVEN-YEAR RULE.)

In the Faculties of Medicine and Dental and Oral Surgery an *associate professor of clinical (department)* is appointed to full-time or part-time service without stated term and without financial guarantee; and an *associate clinical professor of (department)* is appointed annually to full-time or part-time service in a department or in an affiliated hospital or institute. Their clinical qualifications correspond to those of University officers in the grade of associate professor.

An *assistant professor* is a junior scholar possessing the Ph.D. degree or its professional equivalent, who is beginning an independent career of teaching and scholarly research and who is appointed for a stated term of full-time service.

Within the Faculties of Medicine and Dental and Oral Surgery, an *assistant professor of clinical (department)* is an officer appointed annually to full-time or part-time service, and an *assistant clinical professor of (department)* is an officer appointed annually to full-time or part-time service in a department or in an affiliated hospital or institute. Their clinical qualifications correspond to those of University officers in the grade of assistant professor.

An *instructor* is an officer of instruction who is assigned teaching duties or the conduct of laboratory work or classes under the direction and supervision of an officer of higher rank, and who either has the Ph.D. degree (or its professional equivalent) or has been certified for candidacy for the degree and is well advanced in the writing of the dissertation. The appointment is to full-time service for a stated term limited to a maximum of five years, except in the arts and sciences departments, where the appointment may be made annually for a maximum of three years, and within the Faculties of Medicine and Dental and Oral Surgery, where the appointment may be for full-time or for part-time service.

A *senior lecturer* and a *lecturer* are officers of instruction of mature experience possessing the Ph.D. degree or its professional equivalent who are appointed annually for a stated term of full-time or part-time service. The title *senior lecturer* indicates particular distinction and accomplishment. Either title may be combined with a research or administrative position.

A *special lecturer* is a retired Columbia University officer of instruction who, because of special competence, is appointed annually to give instruction for a stated term of one year or less on a part-time basis. A special lecturer is appointed by the President on the recommendation of the department to the Provost.

An *associate* is an officer who is appointed annually because of special competence in a given field to give part- or full-time service and who does not qualify for the title of lecturer. An associate may have full responsibility for a course or courses or he or she may conduct, under the supervision of a regular member of the faculty, drill or recitation sections related to courses offered by that member of the faculty.

An *assistant* is an officer in the Faculty of Medicine or the Faculty of Dental and Oral Surgery who holds the doctorate and to whom is assigned the conduct of instruction under the direction and supervision of an officer of higher rank. An assistant is appointed annually for full-time or part-time service.

A *preceptor* is a student who is registered as a full-time candidate for a doctoral degree at Columbia, who has completed the residence requirement for that degree, and who is appointed for not more than three consecutive years to offer, under the direction and supervision of an officer of higher rank, part-time instruction not to exceed two course sections a term.

A *teaching assistant* (I) is a student who is registered as a full-time candidate for a higher degree and who is given an appointment for one or two terms to conduct one or two sections of an elementary or intermediate course under the supervision of an officer of higher rank. Although normally for use in the language departments, this rank may be used in special cases in other departments.

A *teaching assistant* (II) is a student who is registered as a full-time candidate for a higher degree, ordinarily having completed one year of residence for that degree, who is appointed for one or more terms, not to exceed four consecutive years, and who is not in charge of a course or courses, but who conducts drill, recitation, discussion, or laboratory hours related to courses offered by an officer of higher rank.

A *teaching assistant* (S) is a student who is ordinarily registered as a full-time candidate for a higher degree in one of the sciences and who is appointed annually, for not more than four consecutive years, to conduct recitation, discussion, laboratory, or other sections related to courses offered by a regular member of the faculty. This rank may not be used in the arts and sciences departments.

AFFIRMATIVE ACTION PROGRAM

It is the policy of the University to recruit, appoint to, and promote in all University employment categories, including officers of instruction, without regard to race, color, religion, national origin, sex, or age, and actively to seek out qualified women and minority candidates to be considered for appointment at every level. In order to implement this policy, the University has developed a written Affirmative Action Program which contains specific policies and procedures designed to achieve equal employment opportunity. The Program was submitted to the United States Department of Health, Education and Welfare and accepted by the Department on September 8, 1972. Copies of the original Program are available for inspection in the Reference Room of Butler Library, in the College of Physicians and Surgeons Library, at the Lamont-Doherty Geological Observatory, in the personnel offices, and in the deans' offices. Copies of the condensed version of the Affirmative Action Program may be obtained upon request from the Equal Opportunity Officer of the University. Amendments and changes in the scope and procedures of the Program affecting instructional and professional librarian appointments are communicated by the Provost from time to time to deans, directors, and department chairmen. The University reviews its performance under the requirements of the Program at regular intervals.

The Program places responsibility on departments and schools to take positive steps to assure the inclusion of qualified women and minority group members in the group of applicants and to document such steps. The Provost reviews the schools' appointment recommendations for conformity to affirmative action procedures prior to giving approval for the tendering of offers. In this review he is assisted by the Equal Opportunity Officer of the University and by a Faculty Affirmative Action Advisory Committee, appointed by him from among the various faculties of the University. The Equal Opportunity Officer and the Advisory Committee also assist the Provost and the deans in reviewing, revising, and developing University policies in furtherance of the Affirmative Action Program.

The Columbia affirmative action procedures are designed to achieve accountability within a system of decentralized responsibility. They are based on the recognition that faculty recruitment and development is more than a mere system of rewards: it is the process through which human resources are mobilized to fulfill a university's responsibility both in transmitting knowledge to the next generation and in developing new knowledge. These procedures further recognize that the process of faculty recruitment and development inherently involves the application of qualitative criteria, and that the responsibility for applying these criteria rests primarily within the faculties or departments themselves.

The principle of faculty selection by faculty colleagues is not only a main aspect of academic freedom; it is a practical necessity as well, since peers and colleagues can best evaluate the achievements and promise of the candidates in their fields. Decentralized responsibility, furthermore, gives departments and schools necessary flexibility to pursue faculty development policies which look beyond the individual qualifications of various candidates to the need for anticipating trends in knowledge, and for mobilizing talent selectively in accordance with the program priorities of the department or school.

APPOINTMENT, REAPPOINTMENT, AND PROMOTION

Appointments of all officers of instruction are tendered by the Trustees, President, or Secretary for service in the University as a whole, not in a particular subdivision. An appointment may be for full-time or part-time service.

Full-time service implies a program of teaching and scholarly research, and except in the Faculties of Medicine and Dental and Oral Surgery where appointments are for twelve months of service, an instructional appointment is for a period of residence of two terms, totaling not more than nine months and including, if required, one week before and after each term.

Appointments, reappointments, and promotions of all officers of instruction normally originate within a department. The nominations of the departments are subject to the approval of the faculties in which, or the administrative boards under which, such officers are primarily to serve; however, faculties normally delegate such approval to their deans. In the arts and sciences, all nominations for appointments, reappointments, or promotions are made in writing by the chairman of a department to the Dean of the Graduate School of Arts and Sciences who, in his capacity as chairman of the budget subcommittee for the arts and sciences, sends them to the Provost with the committee's recommendations; in the professional faculties the deans send the nominations directly to the Provost. The nominations are transmitted by the Provost, together with his recommendations, to the President, for appropriate action.

The offer of appointment or reappointment of an officer of instruction must be confirmed in writing by the department chairman and approved in advance of delivery by the dean of the faculty in which the appointment or reappointment is to be made. The rank, salary, whether the appointment is full-time or part-time, and other terms and conditions of service must be included in the written communication of the department chairman at the time the offer is made, together with the statement that all offers of appointment or reappointment are subject to approval by the Trustees, the President, or the Secretary of the University.

In the Faculties of Medicine and Dental and Oral Surgery, any appointment of a member of the staff of an affiliated hospital or institute as an officer of instruction terminates on the expiration or termination of the applicable affiliation agreement or the termination or separation of the person so appointed from the affiliated hospital or institute.

Letters of appointment stating title, rank, compensation, and term of service are sent annually to all officers of instruction who hold term appointments.

The procedures under which officers of instruction are appointed depend on the rank and on whether the appointment is for a stated term or without stated term (i.e., with tenure).

TENURE APPOINTMENTS

The University, including Barnard College but excepting the Faculty of Law, follows a regular system of screening by special *ad hoc* committees whenever a department recommends a nomination to a post without stated term (i.e., with tenure). The rule holds whether the nominee is at the time an officer of instruction in the University or not. The purpose of the review by an *ad hoc* committee is to ensure that the same standards of judgment are applied to all appointments in the University, regardless of their proposed assignments to graduate or undergraduate teaching, or to a particular faculty, in order to secure instructional staff of comparable quality and distinction throughout the University.

The *ad hoc* committee consists of five tenure officers of instruction appointed by the Provost. When representatives of a professional faculty or Barnard College sit on an *ad hoc* committee considering the appointment to their faculty of an officer of instruction, it is their duty to serve as representatives of the University and not as advocates for their faculty or for the candidates.

Budgetary approval is a prerequisite for each nomination for appointment without stated term. This approval is granted by the Dean of the Graduate School of Arts and Sciences, as chairman of the budget subcommittee for the arts and sciences, for those departments and by the Provost for the professional faculties.

Appointments without stated term are made to meet a curricular need of a department and are not made solely as rewards for excellence in teaching, scholarship, or service. Therefore, the presentation by the chairman of a department or the dean of a professional faculty to the *ad hoc* committee consists of the following information:

1. The need for the proposed tenure appointment to meet a curricular requirement of the department for classroom teaching, the direction of research, or the supervision of essay and dissertation work, or (most likely) a combination of these; and the relationship of the proposed position to the overall educational program of the department or professional faculty.
2. The qualifications of the proposed candidate as a scholar and as a teacher, as evidenced by publications, opinions of colleagues (especially judgments outside Columbia), and student evaluations.
3. The extent and method of the search for the best available candidate, comparison with other candidates who were considered, and evidence of compliance with the Affirmative Action Program procedures.
4. An estimate of the candidate's potential scholarly growth and his standing among others of his age and area of competence.

In addition to evaluating the documentation presented by the chairman of a department or the dean of a professional faculty, the *ad hoc* committee is expected to make whatever additional inquiries it feels are necessary to ensure that its information about the proposed appointee is as complete as possible and that all relevant opinions, *pro* and *contra*, are presented to it.

Beyond these few rules, the *ad hoc* procedure is not a mere formality, nor can its substance be cut and dried. Critical and even skeptical inquiry is in order and should not be regarded as infringing academic courtesy or as expressing doubt of departmental judgment. For example, a committee has the right to ask other faculty members to come to a second meeting and give their opinion of the nominee. Through its chairman it may invite additional outside judgments by interview or by letter or telephone inquiry. Consideration should not be limited to one kind of evidence, such as printed matter.

This last point is of great moment in judging nominations to tenure posts that entail important teaching duties in one of the undergraduate divisions of the University. The essential requirement for the appointment of any nominee is scholarly achievement. The candidate need not be one who publishes much, or at all, provided it is clear to the committee that the candidate's worth to the institution is testified to by those best able to judge the candidate's mind and work. If the *ad hoc* committee reviewing the claims of such a candidate is satisfied that the candidate is a scholar in mind and in spoken performance, it should not hesitate to recommend the promotion.

It is likewise understood that the appointment under consideration is to a University post: no distinctions affecting standards of judgment should be drawn on the basis of proposed assignments to undergraduate or graduate teaching in this or that division of the University. The purpose of the *ad hoc* review is precisely to secure appointees of comparable quality and merit throughout the University.

The Provost or his deputy and the Dean of the Graduate School of Arts and Sciences attend meetings of the *ad hoc* committees whenever possible, but only the five members of the *ad hoc* committee cast their votes on the proposed appointment. The chairman of the *ad hoc* committee reports the result of the voting in writing to the Provost who then transmits the report, together with his recommendations for approval or disapproval, to the President for presentation to the Trustees. The Provost then transmits the decision back to the chairman of the department or the dean of the professional faculty.

TERM APPOINTMENT: SEVEN-YEAR RULE

No officer of instruction may be appointed or reappointed for full-time service for a period longer than seven consecutive years unless granted tenure, except, in the Faculties of Medicine and Dental and Oral Surgery, in those cases where appointments with stated term are modified by the term "clinical" or are held in an affiliated hospital or institute, or except when the Provost has approved an eighth year (see below).

Within the seven-year limit, leaves of absence for periods up to and including one academic year normally do not constitute breaks in the definition of continuous service; such leaves ordinarily count as time served in the calculation of the maximum time for term appointments. However, officers of instruction holding a term appointment in one of the professorial grades may request in advance that a leave of absence not be counted toward the seven-year limit.

Part-time service, discontinuous full-time service, service at other institutions, and maternity and military leaves are not counted toward the seven-year limit; part-time career appointments for parents count toward the limit of seven years in the manner prescribed in Chapter VII of the Statutes (see Appendix II).

All officers of instruction with term appointments (i.e., without tenure) are appointed initially for one year. Reappointment of full-time officers so appointed with at least one year of residence at Columbia may be for one, two, or three years. However, at the conclusion of any term appointment, an officer of instruction may with due notice be offered a terminal appointment, even though such appointment will not complete seven years of service. (See Section 72c of the Statutes, Appendix II.)

The usual grades of full-time officers of instruction with term appointments are instructor, associate, assistant, lecturer, and assistant professor. Appointment to the rank of professor or associate professor with stated term (i.e., without tenure) may be approved by the President; such appointments are for full-time service and are usually for a total of not more than three years but may, under special conditions, be extended, subject to the general limitations imposed by the Seven-Year Rule. An exception is an appointment to the rank of professor or of associate professor of clinical [department], which may be for part-time service. An appointment to the rank of associate professor with stated term (i.e., without tenure) of an officer of instruction who has not served in the University for at least three years is usually made only if there is budgetary authorization for a tenure position in the individual's area of specialization.

TERM APPOINTMENT: EIGHTH-YEAR EXCEPTION

The consideration of the promotion of an officer of instruction from a term appointment to a tenure appointment may, under special conditions, be deferred until the officer's seventh year of service. This delay can be granted only by the Provost and each case is reported to the Faculty Affairs Committee of the Senate.

Requests for such deferral must meet the following conditions:

1. The school or department requesting deferral must demonstrate both a specific academic need for a tenure position in the candidate's field of expertise and sufficient financial resources to cover the proposed appointment.
2. Specific academic reasons for the request to defer must be provided (for example, forthcoming scholarly accomplishment or publications).
3. Substantial evidence of the candidate's excellence must be provided.
4. A statement affirming that the appointing school or department expects that their final recommendation for tenure will be affirmative.

If the appointment to tenure is not granted, the officer of instruction may be reappointed for an eighth and terminal year of service and does not obtain tenure as a consequence of reappointment (see Appendix II).

PROMOTIONS

Promotion from associate professor to full professor is not granted simply on the basis of length of service. A department may nominate an associate professor to full professor if the officer has rendered satisfactory service to the University, fulfilled his or her duties as a teacher, and has demonstrated, by published work or other means, distinct contributions to the field.

A junior officer of instruction may be considered for promotion to a position with tenure, if the officer so requests, on reaching the fourth year of full-time service at Columbia. The officer must be so considered before the end of the fifth year (Chapter VII of the University Statutes). The decision of the department, either that the seventh year of service is to be a terminal year or that a recommendation for promotion is to be made, must be conveyed in writing to the officer by the department chairman, with a copy to the Provost for his records on all non-tenured officers of instruction. Well before this decision is made in the fifth year of service, senior members of the department are expected to make informal evaluations of the officer's qualifications. The criteria used in deciding for or against a formal recommendation correspond to the considerations presented to an *ad hoc* committee as described above. The two fundamental questions the department must answer are: (1) is there a continuing curricular need for the candidate's specialty, and (2) is the candidate the best person available to satisfy that need? Only if both questions are answered in the affirmative will the department recommend promotion to a position with tenure. If the department makes such a recommendation, it should be able to report that a search committee has made extensive inquiries, has compared the candidate with others who might be available, and has concluded that the person is the best candidate. This search must conform to the procedures of the University Affirmative Action Program. Budgetary provision is then requested (normally at the end of the officer's fifth year). Once this has been obtained, the *ad hoc* committee is established (at the beginning of the sixth year). Thus the University either accepts or rejects the department's recommendation before the end of the officer's sixth year. Should the individual not be granted tenure, he or she will be reappointed for a seventh and terminal year.

It is inevitable that many junior officers will not be promoted, but will be advised that their affiliation cannot be continued beyond the terminal year. A department may have been unable to reconcile the appointment in question with its need for a particular specialty; a tight budget may preclude additional tenure appointments in the subject of the candidate's specialty. Failure to recommend promotion to a position with tenure should not be taken as an adverse judgment on a candidate's competence as a teacher and scholar.

LEAVES OF ABSENCE, RESIGNATIONS, AND RETIREMENTS

The President has the power to grant leaves of absence for reasonable cause and length of time. Ordinarily, only full-time officers of instruction of professorial rank are eligible for leave. The Provost approves the leaves of absence on behalf of the President in accordance with the following policies and procedures:

1. All requests for leave of absence must be submitted to the department chairman or, where appropriate, to the dean of the professional faculty. In the arts and sciences departments, the chairman sends all requests for leaves together with his or her recommendations to the Dean of the Graduate School of Arts and Sciences who, as chairman of the budget subcommittee for the arts and sciences approves the requests before they are sent to the Office of the Provost. In the Faculties of Engineering and Applied Science and Medicine the requests for leaves are sent

by the department chairman to the dean of the faculty for approval before being sent to the office of the Provost. In other professional faculties, the request is sent by the officer of instruction to the dean for his approval, and the dean transmits the request to the office of the Provost.

2. The academic term(s) of a leave of absence is determined in consultation with the department chairman or dean to assure that such leave will not adversely affect the instructional work of the department, including the supervision of dissertations.

3. Except for reasons of urgent national service, leaves of absence may not extend beyond two academic terms. Moreover, officers of instruction are expected to be in residence for at least two academic years of full-time service between leaves of any kind. Leaves cannot be taken consecutively except for a one-term full sabbatical leave preceded or followed by a one-term exemption from teaching duties or a one-term leave without salary.

4. All requests for short leaves of absence of a month or less during an academic term, including the week before and after each term and Commencement Day, must be approved by the department chairman before being sent to the dean, who may grant approval on behalf of the President.

SABBATICAL LEAVES

1. Each professor and associate professor who holds a tenure appointment is eligible for a sabbatical leave of one year at half salary or a half year at full salary *after completing twelve terms of full-time teaching,* including time in all professorial grades.

2. Sabbatical leaves take precedence over all other leaves when it appears that the number of requests for leaves from a department during a given term(s) will affect adversely the offerings of courses or the supervision of dissertations by the department. Sabbatical leaves may not be postponed for more than three regular terms after the original term of eligibility without the loss of credit toward the next sabbatical.

3. Sabbatical leaves are granted only if the officer of instruction plans to return to the University for at least one academic year of full-time service after the leave. When an officer's last year of service before retirement coincides with the last sabbatical leave, the officer may elect to cease active service in the autumn term and be on leave during the spring term, but retirement does not begin until the expiration of that sabbatical term.

4. Since the sabbatical leave is considered part of the officer's service to the University, all benefits such as TIAA retirement premiums and group insurance contributions are continued by the University during sabbatical leaves. Not only for this reason, but also in recognition of the primary purpose of sabbatical leaves, namely, to provide the officer with an uninterrupted opportunity for research and intellectual refreshment, no officer may accept a teaching appointment, a visiting professorship, or any full-time employment with another institution during such a leave. This restriction does not include a *research* post at another institution.

5. Officers of instruction are not entitled to sabbatical leaves while holding administrative posts. When an officer of instruction holding tenure professorial rank be-

comes an officer of administration, the time spent in administrative duties is considered full-time teaching service in crediting terms toward a sabbatical leave, which is taken at the first opportunity after relinquishing the administrative post.

LEAVE OF ABSENCE WITHOUT SALARY

1. Only full-time officers of instruction in the grades of professor, associate professor, and assistant professor are granted leaves of absence without salary. All other officers of instruction (instructors, lecturers, associates, clinical professors, adjunct professors, and so forth) who wish to terminate temporarily their services at the University must resign. However, if appropriate and so requested, a letter of intent to reappoint may be given to them by the appropriate dean.

2. During a leave of absence without salary, an officer of instruction may not receive salary payments or additional compensation from any University source, including grants and contracts, except compensation for teaching in the Summer Session. (See EXEMPTION FROM TEACHING DUTIES below.)

3. During a leave without salary, the University does not contribute to retirement benefits (TIAA), but the officer may assume this responsibility during the period of the leave. The University will continue its contribution to group life insurance and major medical group insurance for up to twenty-four months, provided that the officer prepays his or her share of the premium.

4. However, a leave without salary does not constitute a break in continuous service, and such leave is normally included in the calculation of the seven-year limit for officers of instruction holding non-tenure appointments. However, upon the written request of the officer of instruction and with the approval of the department, the President, through the Office of the Executive Vice President for Academic Affairs and Provost, may rule that such leave will not be counted for this purpose.

EXEMPTION FROM TEACHING DUTIES

1. An exemption from teaching duties may be granted by the President through the Provost on the recommendation, in the arts and sciences, of the department chairman to the Dean of the Graduate School, or in the professional faculties, of the dean, to permit an officer of instruction to engage in *full-time* research, but only on projects that are sponsored by the University or paid for through the University. If full salary and fringe benefits for a project are not administered by the University, then the officer of instruction must take a leave of absence without salary or, if eligible, a sabbatical leave for the duration of the project. There are no exceptions to this rule.

2. An exemption from teaching duties is limited to one year only and must be preceded and followed by two-year intervals of regular full-time service as required between leaves of any kind; the exemption is counted in the accumulation of the maximum of seven years allowed for officers of instruction holding non-tenure appointments. It does not count as service in the accumulation of the twelve terms of full-time teaching necessary for eligibility for sabbatical leave.

OTHER LEAVES OF ABSENCE

1. An officer of instruction may be appointed for one year only to a research chair for which a leave of absence is received. During the period of the appointment the officer retains his or her regular academic title and also acquires that of the particular chair named.

2. All full-time officers of instruction who are called to active duty with the armed forces will, on application to the President through the Provost, be granted a "military leave of absence" in accordance with the Universal Military Training and Service Acts.

3. The University policy on maternity leave, which is uniform for all officers and staff, provides for up to twelve months of unpaid maternity leave when the person requesting the leave has served the University for at least six months. The specific regulations are available from the Personnel Office.

4. Officers of instruction are normally not eligible for leaves of absence while holding administrative posts. Requests for exceptions to this general rule may be made to the Vice President for Personnel Management.

RESIGNATIONS

1. A full-time officer of instruction who wishes to resign at the end of the academic year should give notice in writing no later than April 1 or thirty days after receiving notification of the appointment for the coming academic year, whichever date is later. Such letter of resignation should be sent to the Provost with copies to the department chairman and, in the arts and sciences, to the Dean of the Graduate School, and in the professional faculties, to the dean of the appropriate faculty.

2. Resignations are effective on the last day of the academic year. In cases where another date is requested, the Office of the Provost will need assurance that the instructional and research responsibilities of the officer of instruction have been assumed by the department before the resignation is accepted. In cases of hardship, or other special circumstances, the officer of instruction may request from the Office of the Provost a waiver of the requirement of notice.

RETIREMENT

1. Every officer of instruction must retire from full-time service in the University on June 30 following his or her sixty-eighth birthday. An officer of instruction, upon written notification to the President, may retire from full-time service in the University at the end of any term after reaching the age of sixty-five, with the usual retirement benefits. In the Faculty of Medicine every officer of instruction in clinical departments must, when the retirement age in the hospital in which he or she serves is sixty-five, retire from full-time service in the University on June 30 following his or her sixty-fifth birthday.

2. A retired officer of instruction may be appointed annually as a special lecturer by the President on the recommendation of the department to the Provost. (See page 20, under ACADEMIC TITLES AND GRADES OF OFFICE.) Such service is ordinarily

for no more than three years. A retired officer so appointed does not qualify for full-time benefits. (See BENEFITS, pages 42–55.) The names of all living retired officers are retained in the Directory and other appropriate announcements of the University.

3. The title of professor emeritus may be conferred upon a senior officer of instruction at the time of retirement in recognition of length of service and eminence in the chosen field. Awarded by the Trustees, the title is first recommended by the President upon approval by the Executive Committee of the Trustees.

JURY DUTY

Members of the University are periodically called upon to perform the duty of all citizens to serve as juror. Recognizing that such a notice for jury duty may interfere with scheduled classes and teaching responsibilities, the courts will sometimes postpone but not excuse teachers from such service. In the arts and sciences, the Dean of the Graduate School will prepare a request for postponement. In the professional faculties, each dean prepares such requests for his faculty members.

DISMISSAL, SUSPENSION, DISCIPLINE, AND RETIREMENT FOR DISABILITY

DISMISSAL

Termination of an appointment with tenure, or of a term appointment before the completion of the specified term, is effected only for cause and must follow the procedures specified in the *Code of Academic Freedom and Tenure* (Chapter VII of the Statutes, see Appendix II). However, if an officer of instruction is charged with a breach of the *Rules of University Conduct*, which deal with demonstrations, rallies, and picketing (see University Statutes, Chapter XLI), he or she may choose to be judged either under the *Code* or under the *Rules;* but the choice once made cannot be reversed. In either case the officer has the right to a hearing if dismissal is proposed. If the charge is proved, dismissal or a lesser penalty may be imposed.

SUSPENSION

1. An officer of instruction whose dismissal is proposed may be suspended, but only if the President, after consultation with the Senate Committee on Faculty Affairs, finds that immediate harm to himself or others is threatened by continuance of the officer's normal service; during such interim suspension the officer continues to draw a salary.

2. If an officer is suspended from service as a penalty, the salary is discontinued for the length of the suspension.

DISCIPLINE

The dean of each faculty is specifically charged with administering discipline in his school, subject only to the reserved powers of the President (Chapter LII of the Statutes). This responsibility may take a number of different forms in the discretion of the dean, depending upon need.

DISABILITY RETIREMENT

The University may at any time retire an officer of instruction on clear and convincing medical grounds. (See TOTAL DISABILITY BENEFITS PLAN, pages 45–46.)

► OBLIGATIONS AND RESPONSIBILITIES

The standards of conduct expected of all officers of instruction are set forth in part in the *Statement on Professional Ethics and Faculty Obligations* adopted by the University Senate on September 29, 1972, and included in Appendix I.

By accepting a full-time appointment in the University, an officer of instruction assumes primary responsibility for "the thorough, efficient and earnest performance of the duties of his office" (Section 60 of the University Statutes). This includes teaching, scholarly research, and service on committees of the department, the faculty, and the University.

Department chairmen and deans are specifically charged with the duty of maintaining the integrity of standards of instruction and research within their respective departments, faculties, and administrative boards. The chairman oversees the equitable distribution of the teaching loads and the adequate supervision of student research and doctoral dissertations. If an officer of instruction is believed to be neglecting University work, the chairman is obliged to notify the President through the Provost.

TEACHING

All officers of instruction, whether full-time or part-time, are expected:

1. To meet all scheduled classes. If there is an unavoidable absence or emergency situation that prevents the meeting of the class, the officer must provide alternate instruction or reschedule the meeting of the class to fulfill his or her obligation to the students and to the University.

2. To hold regular office hours of sufficient duration to advise students during the academic term.

3. Full-time officers are expected, in addition, to direct student research and, if appropriate, to supervise doctoral dissertations.

4. To be in residence during registration periods, in order to advise students.

5. To assume the normal teaching load that is required, regardless of rank. Variations in teaching load may be required or authorized by the department chairman or the dean of a professional faculty for the following reasons: special or protracted research; the nature of the subject matter or character of the course (e.g., undergraduate laboratory courses, graduate laboratory research for the Ph.D. degree, field trips); adjustments of schedule necessitated by leaves of absence within the department; or special obligations to the University.

6. To teach such courses as may be determined in consultation with the department chairman or dean in order best to fulfill the educational needs of the department. All officers of instruction are appointed to serve in Columbia University, not in a particular division. The assignment to particular courses is ordinarily agreed upon between the officer and the chairman or dean under whom the officer serves. The chairman or dean is required to consult the officer in good time before making assignments. The expertise of the officer will be considered, but no proprietary rights in a subject or level of instruction can be recognized. In cases of disagreement, the officer of instruction or the department chairman may appeal through the appropriate dean to the Provost for a Presidential ruling. If the officer is still aggrieved, a hearing may be requested from the Faculty Affairs Committee of the University Senate.

7. A reduction in teaching assignment may be requested during the academic year in order to work on a research project, a scholarly journal, and the like. This reduction, which is limited to not more than 50 percent of the normal teaching obligation of the officer of instruction, must be approved in advance by the appropriate dean (upon the recommendation of the department chairman, if applicable). In such cases, that portion of salary and fringe benefits which corresponds to the reduction in the teaching assignment is charged to the research project or other source of funds. This charge is a reimbursement to the University for the amount of time that is withheld from teaching. Any term in which there is such a reduction in teaching is ordinarily not credited as a term of full-time service toward sabbatical leave.

SCHOLARLY RESEARCH

The University recognizes that the scholarly research of an officer of instruction not only increases professional competence but also fulfills in part the officer's obligations as a teacher. The custom of the leading universities suggests that the equivalent of one day a week may be looked upon as a normal allotment of time for research. This measure is of course greatly increased in departments where advanced instruction is carried on as a part of individual or team research.

Since much scholarly research requires outside support from non-University sources such as foundations, government agencies, and private industry, the University has formulated policies and procedures to ensure that all such projects contribute not only to the advancement of knowledge but also to the instructional resources of the University. All proposals for externally funded research and instruction sponsored or administered by the University must conform to the Senate Resolution of April 13, 1973, requiring that the projects be consistent with and contribute to University purposes and University priorities. Further, the proposals must conform to the regulations prescribed in Chapter XL of the University Statutes (see Appendix III) ensuring scholarly independence and integrity.

Officers of instruction seeking outside support for scholarly research projects in which the University assumes sponsorship or administration, or in which University resources such as space, facilities, or funds are involved, are required to file their proposals for externally funded research and instruction according to the procedures set forth by the Office of Projects and Grants (see pages 35–36).

Research arrangements, when made by an officer of instruction in an individual capacity and to which the University is not a party, are not the concern of the University. However, such arrangements should not interfere with the officer's primary obligation of service to the University.

ADMINISTRATIVE RESPONSIBILITIES

An officer of instruction is expected to serve on department committees, to assume his or her share of administrative responsibilities within the University, and to attend academic functions as requested by the department chairman or the appropriate dean.

The department chairman or dean of a professional faculty may, at his or her discretion, adjust the amount and kind of obligation expected of the officers in that department or faculty. Where the demands of research or other academic work justify exceptions, the officer should discuss with the department chairman or dean of the professional faculty any modification in his or her obligations.

OUTSIDE INTERESTS AND EMPLOYMENT

Outside professional interests and employment, whether gainful or not, must not interfere with teaching, scholarly research, and other duties in the department and the University. The officer should take care not to affect adversely either his or her own independence or the integrity of the University. The taking on of a regular teaching assignment in another educational institution during the academic year is therefore not allowable except with the special permission of the Provost on the assurance of the department chairman to the dean that such employment will not impair the instructional offerings of the department.

An officer of instruction is required to keep the department chairman informed of all outside professional activities and should consult with the chairman if the undertaking of significant new outside professional activities is considered. Questions arising out of these activities should, in the arts and sciences, be taken up with the Dean of the Graduate School of Arts and Sciences and, in a professional faculty, with the dean of that faculty. Any outside interests or employment, including outside consulting work, undertaken by an officer of instruction during the academic year should be limited to no more than an average commitment of one day a week.

The officer of instruction should not accept a regular and continuing position with significant responsibilities for the management of an outside enterprise; should not become a regular and continuing employee of any outside organization, either part-time or full-time; and should not accept any outside positions that tend to create conflict of interest with the officer's University position. Responsibility for the propriety of arrangements in which multiple and possibly conflicting interests exist rests with the officer of instruction. To aid and protect all concerned, the University has a policy statement on conflict of interest (see Appendix IV) that was issued as an executive directive by the President and is binding on all officers of instruction.

USE OF UNIVERSITY FACILITIES

In the pursuit of an outside professional enterprise, an officer of instruction cannot commit University materials or supplies, facilities, library resources, or personnel for the benefit of the activity.

Permission to use University facilities *may* be granted to an employee of another corporation by the Executive Vice President for Academic Affairs and Provost on recommendation of the appropriate dean, but only under the following conditions: evidence that the work of such employee will make a significant contribution to the educational effort of the University; provision for supervision of such work by a University faculty member holding a tenure appointment; the initial period of such work not to exceed one year, renewable for not more than two years.

USE OF UNIVERSITY NAME

No officer of instruction, in any opinion or certificate which may be given as to the merits or claim of any business undertaking, or of any scientific or practical invention, shall use the official title of the University, or of any of its parts, or refer to any professional connection therewith, without the approval of the Trustees. (See Section 62 of the University Statutes.) The name of the University may not be used by any officer of instruction in sponsoring or recommending any commercial service or product. When an officer of instruction establishes, or is a director of, an organization, business, or consulting service that is not part of the official activities of the University, the following rules govern use of the University name and address on stationery:

1. A particular member of the University faculty, and only one, must be named in the mailing and receiving address.
2. That faculty member's name must appear both on the stationery and on the envelope as part of the return address.
3. The faculty member's name must appear together with the name of the organization which he or she heads.
4. The faculty member must use his or her own, regular campus address.
5. The name of the University must not be used to suggest that the activity is part of the faculty member's regular duties at the University.

PROCEDURES FOR FILING PROPOSALS FOR EXTERNALLY FUNDED RESEARCH AND INSTRUCTION

With certain exceptions, notably in the fields of medicine and dentistry, it is the policy of the University that the principal investigator or director of a sponsored project must be an officer of instruction with a full-time appointment in the rank of professor, associate professor, assistant professor, or instructor. Persons with appointments carrying other instructional titles, such as visiting or adjunct professors, lecturers, etc., and those with appointments as research or staff associates, may not serve as the principal investigator or project director. They may, however, serve as co-principal investigator or co-director with an officer of one of the four instructional ranks cited above.

A retired officer of instruction may continue to serve as principal investigator or project director and occupy research and office space until the expiration of the current term of funding of the contract or grant supporting the project. The officer may continue to serve beyond that date, or on a new project, only with the permission of the President.

The *Office of Projects and Grants* is responsible for the central administration of all projects proposed and accepted by the University, for which support comes from the government, private foundations, or industry. The services rendered by the office include recommending funding sources to faculty members and aiding them in the preparation of proposals, verifying budgets and estimating needs for space and for University computing facilities, representing the University at conferences on projects, processing the papers required by government agencies, and exercising administrative and advisory responsibility in matters related to sponsored activities.

Staff members are available to assist faculty members seeking information for themselves, or for doctoral candidates, about possible sources of funds, public or private, and appropriate application procedures. The office maintains a wide range of reference materials, including general information on the criteria for choosing potential sponsors and guidelines for proposal preparation.

All proposals for sponsored projects must first be approved by the appropriate department chairman and dean. In all fields except medicine they are then submitted to the Office of Projects and Grants. Proposals in the field of medicine are submitted to the Vice President for Health Sciences. Proposals in non-medical fields should be submitted to the Office of Projects and Grants in draft form for review and comment before final typing or duplication. The formal proposal should be submitted at least two weeks before the date for submission to the prospective sponsor. If the proposal involves human subjects, it must be submitted at least four weeks before that date.

If funds are granted to the University through an individual faculty member, the original of the grant letter must be sent immediately to the Office of Projects and Grants for review and approval of the terms of the grant before acceptance of the grant by the University.

When all formalities have been completed on supporting agreements, the officer in charge of the project will receive account numbers, signature authorization, a requisition book, and pertinent instructions. The funds provided by the sponsor will then be available for use by the officer in charge of the project, for project purposes, subject to any conditions imposed by the sponsor or by University policy.

In preparing budgets for sponsored activities, the categories of cost will, of course, vary with the nature of the project. The following broad categories are those most commonly used in arriving at budget estimates:

Salaries and wages: This item should include (by name and job title, where possible, otherwise by job title alone) a listing of all salaries chargeable directly to the project, including, where appropriate, allocations of salaries (on a percentage of time or effort basis) of regular University employees who will participate directly in the project activity. This group may include all categories of personnel, from faculty members to technical, shop, and secretarial assistants. Where appropriate, compensation for student assistants should also be included. Summer salaries may be requested for faculty members for a maximum of three months of continuous employment (unless limited by the sponsor to a shorter period) at a rate equal to that of the academic year following July 1 of the summer concerned.

If permitted by the sponsor and approved by the department chairman and appropriate dean, the officer of instruction may earn up to an additional 20 percent of his base salary from such projects during the academic year, plus any allowable summer compensation. In general, however, government sponsors will not allow additional salary payments for the academic year.

Social Security, insurance, and other payroll-related charges: These are to be listed as a separate category of costs and calculated at the University's anticipated composite fringe benefit rates.

Permanent equipment: Any requirements for permanent equipment should appear in the budget under a special heading and be accompanied by a detailed supporting statement in the text of the proposal.

Expendable equipment and supplies: While detailed listing is not generally required, some itemization by types of expendable equipment and supplies should accompany the estimated costs.

Travel: The cost of anticipated travel should be stated, including any necessary subsistence allowance, with a justification of this item included in the text of the proposal. If foreign travel is contemplated, its pertinence to the project should be thoroughly explained.

Other direct costs: Expenses of publication and of other communications (including local and long distance telephone calls), as well as of office operation, should be included, as should any costs such as computer charges, space rental (under unusual circumstances), minor alterations, service charges, books and materials needed for the conduct of the work (if not adequately available through the University libraries), or other costs which may be peculiar to the project.

Indirect costs: In addition to covering the direct costs of a project, the University is obligated to cover the indirect costs incurred for the general support and management of the project. Each project budget must provide for its share of recovery of the indirect costs through the use of an indirect cost rate. The appropriate rate is determined in consultation with a projects officer in the Office of Projects and Grants.

OTHER UNIVERSITY POLICIES AFFECTING OFFICERS OF INSTRUCTION

SPACE UTILIZATION

The use of space in University buildings is determined by the President acting on the advice of the Space Policy Committee, which is appointed by and reports to the President. The Committee initiates proposals and policy recommendations concerning the allocation of space, initiates requests for planning and space utilization studies, and acts on changes in the use of space, renovation or reconstruction of existing space, or requests for new space. The Committee considers any given proposal in the light of its relation to the academic needs and priorities of the University, the cost relative to available or prospective funds, and the contribution of the proposed project to the improved or more effective utilization of existing space.

All proposals concerning changes in the use of available space, the construction of new space, or the renovation of existing space must be made through department chairmen, who may then refer these proposals to the Campus Architect. The Office of the Campus Architect processes and follows up all proposals on space utilization and conducts the negotiations and communications with the chairman and, where appropriate, the dean, and prepares and analyzes these requests for review and approval by the Space Policy Committee. Decisions on the reallocation of space among the departments and professional schools and on new construction are made by the Space Policy Committee.

All requests and proposals relating to space, including minor space renovation requests such as the painting of offices, minor repairs, and the changing of locks must be submitted on a "Facilities Improvement Request" form.

COPYRIGHTS, PUBLICATION CONTRACTS, AND PATENTS

The University is dedicated to scholarly activity in the broadest sense, and holds that the results of university research should be made public with the greatest possible freedom. Accordingly, it is not judged to be within the sphere of University scholarly activities to assert claim to ownership or to seek control over the writings, inventions, or discoveries of its staff.

Although technically all faculty members are employees of the University, the University does not in general desire copyright on writings of its staff. However, there are certain exceptions. Journals, yearbooks, anthologies, compendia, and films published by divisions of the University should be copyrighted in the name of *The Trustees of Columbia University in the City of New York,* the proper name of the University corporation. Only an individual or the University may apply for copyright; a division or school of the University may not do so in its own name. If the University or an external sponsor subsidizes publication in cash or through guaranteed purchase of a number of books, copyright is also usually in the name of the University, with initial royalties reverting to the University until the subsidy is repaid. External sponsors, especially government agencies, frequently have additional restrictions on copyright and royalties resulting from publications or films supported by them. Whether or not copyright is in the name of the University, publication contracts between the publisher, author, and University must be signed by a designated officer of the University. Questions on copyright and copyright procedure should be directed to the Executive Vice President for Administration. Questions on specific restrictions by outside sponsors should be directed to the Office of Projects and Grants.

It is recognized that officers of instruction, students, and other members of the University staff may in the course of their research make discoveries that can properly be classed as inventions. These inventions are often worthy of patent application and some ultimately may be patented. Officers of instruction and research and other persons specifically excepted under University agreements are free to patent any device or discovery arising from their personal researches, and to make any arrangements they consider desirable in reference to patents and other rights, even when these originate in their scholarly activity for the University.

Much of the research within the University leading to discoveries and inventions is performed under the sponsorship of outside agencies, both governmental and commercial. Many of these agencies require assignment of part or all of the patent rights to the agency. The University stipulates that all such work to which the University is itself a contractual party should contribute to scholarly activity or should be an activity of public benefit compatible with the aims and purposes of the University. Such agreements usually call for periodic reports of inventions to the sponsor. If the sponsor is not interested in pursuing the patenting of the invention, it has been the practice of the University to refer the inventor to the Research Corporation for examination and a determination as to the advisability of patenting. Although most agreements provide that the University itself be responsible for patents and other rights, it is the practice of the University to waive these rights in favor of the inventor, to the extent permitted by the agreement. (See USE OF UNIVERSITY NAME, page 34.)

More detailed information on patents may be obtained from the Executive Vice President for Administration and the Office of Projects and Grants.

OATH OF ALLEGIANCE

All United States citizens who serve as officers of instruction in a tax-exempt college or university in the State of New York are required to swear or affirm that they will support the federal and state constitutions. It is unlawful for the University to permit anyone to give instruction who has not taken such an oath, which must be filed with the Secretary of the University. (This requirement is stated in the provisions of the Laws of 1947 of New York State, Chapter 820, Section 3002, amended 1969.)

INQUIRIES BY OUTSIDE AGENCIES

Inquiries concerning present or former students addressed to officers of instruction raise delicate issues. On the one hand, faculty members have an obligation to furnish information in connection with a student's application to graduate school, for a fellowship, or for employment; on the other hand, faculty members come into possession of much personal and confidential information whose release could compromise a student's right to privacy. Some guidelines may be offered. In general, information should not be given over the telephone, unless (1) the student has asked the faculty member to act as reference, or (2) the inquirer is personally known to the faculty member. Inquiring visitors should always be asked to identify themselves and to give the reason for the inquiry.

To act as reference when asked to do so is an important duty that should not be neglected. A faculty member will be more likely to give detailed information concerning a student to an inquirer if the student has asked him to respond to inquiries than if the student has not. Good judgment should be exercised in reconciling the student's interest in a favorable recommendation with the public interest in objective appraisal. For detailed information as to the student's dates of enrollment, grades earned, and degrees awarded, the inquirer should be referred to the Registrar. Inquiries involving students who have been subject to disciplinary action should be referred to the dean. Faculty members are reminded that recent federal legislation gives students rights of access to certain of their records and limits the release of those records to others.

In recent years, government agencies and legislative bodies have shown increasing interest in the political and other activities of faculty members and of students. On October 24, 1969, the University Senate adopted the long policy statement "Provision of Information in Response to Governmental Demands," copies of which are available in the Senate Office. The statement attempts to define the scope of legitimate inquiry, to preserve the autonomy of the University, and to protect the freedom of expression and right to privacy of its faculty members and students. Any faculty member who finds himself pressed to answer what he believes to be improper inquiries should consult the Office of the Provost.

VISAS FOR FOREIGN STAFF MEMBERS

Chairmen of departments, when negotiating with aliens to come to the University to teach or to conduct research, should not overlook the necessity of obtaining the proper visas.

Columbia is a participant in the Exchange-Visitor Program of the Department of State. Through the Program, the process of obtaining a visa may be greatly expedited both here and at the American consulate abroad. The Manager of Personnel Services is the responsible officer for this Program and may be consulted for further information.

Aliens must establish their tax-withholding status and their right to receive remuneration for service in this country. They may not receive compensation until the Employee Accounting Division, Office of the Controller, has evidence that the type of visa held will allow salary to be paid. The Manager of Personnel Services should be notified at once when an alien is under consideration for appointment, so that ample time will be available, for salary and fellowship purposes, to obtain the proper visa.

VISITING SCHOLARS

Only persons who have in some capacity registered in the University may attend courses. One category of registration is that of Visiting Scholar (a descriptive title which should not be confused with that of visiting professor). On the Morningside campus, the Manager of Personnel Services appoints Visiting Scholars. At the Medical Center, the Dean of the Faculty of Medicine appoints Visiting Fellows as well as Visiting Scholars. In general, persons appointed as Visiting Scholars are: (*a*) faculty members on leave from other institutions outside the metropolitan area, (*b*) officials of foreign governments, (*c*) members of foreign academies and universities, or (*d*) holders of foreign or national fellowships of postdoctoral grade not administered by or held in the University. Faculty members who believe that a person of their acquaintance qualifies as a Visiting Scholar may recommend him or her to the appropriate dean, director, or department chairman in whose academic discipline the proposed Visiting Scholar has an interest. The dean, director, or department chairman may then make a request for the appointment to the Manager of Personnel Services or to the Dean of the Faculty of Medicine. A full professor on the Morningside campus may make a request for a Visiting Scholar appointment directly to the Manager of Personnel Services. The term of a Visiting Scholar appointment is one year and in general is not renewable.

Visiting Scholars are permitted to audit graduate lecture courses with the consent of the instructor and to use the libraries under the conditions specified by the University Libraries. (Summer Session courses require the approval of the Dean of the Summer Session.) During their stay at Columbia, Visiting Scholars arrange for their own housing, medical services, health insurance, and sources of income. No record is kept of attendance nor is academic credit given for the courses audited. The names and addresses of Visiting Scholars are kept on file in the Office of Personnel Services and in the Registrar's Office. Fulbright Scholars and scholars under the sponsorship of the American Council of Learned Societies may obtain information and identification cards at the Office of the Dean of the Graduate School of Arts and Sciences, 105 Low Memorial Library. All other Visiting Scholars should consult the Manager of Personnel Services or the Dean of the Faculty of Medicine.

► PAYMENT OF SALARY

Full-time officers of instruction are compensated in twelve monthly installments for services rendered during a nine-month academic year. New officers receive payment beginning July 31, which is the end of the first month in which appointments ordinarily become effective. Officers of instruction who have visiting or part-time appointments are paid in equal installments during the period of their teaching, rather than on a twelve-month basis.

Regular salary payments are made from July 1 to officers of instruction (except for the Faculty of Medicine and the Faculty of Dental and Oral Surgery, which are on a twelve-month academic year) at the rate of one-twelfth of a nine-month salary; these are payments in advance for service to be rendered during the following academic year. If an officer of instruction resigns from a regular appointment before the beginning of classes in the autumn, the payments made on July 31 and August 31 must be returned to the University. If the resignation occurs at any other time, the officer of instruction will be paid to the date of resignation according to the rule that full compensation consists of twelve monthly payments for each full academic year; fractions of a year of service are prorated accordingly. Thus, if an officer of instruction resigns at the end of the autumn term, he or she is entitled to only half—or six-twelfths—of the yearly salary. All full-time officers of instruction must receive at least 50 percent of their regular salary for the academic year from the University, except in the Faculty of Medicine where at least 50 percent of the regular salary must be paid through the University.

No officer of instruction of the University may receive additional compensation from the University for services rendered in another division of the University, with these exceptions:

1. Single lectures or participation in group discussions, and special advising or preparation of special academic material, may be remunerated by compensation in addition to the officer's salary.

2. Summer Session teaching is remunerated on a scale announced by the Dean of Summer Session.

3. Summer research on government or foundation projects may be remunerated according to a standard formula for additional compensation. This formula usually yields a supplement varying from one-ninth to three-ninths of the officer's regular salary, except in the Faculty of Medicine and the Faculty of Dental and Oral Surgery, where University officers are paid for twelve months of service.

4. In exceptional cases, junior officers confronting a pecuniary emergency, and senior officers whose specialty would make their replacement difficult, may, on the recommendation of the chairman of the department and the dean, be permitted by the Provost to receive extra compensation for teaching in a division of the University other than those to which they are normally assigned; that is, assume more than a normal teaching load for additional salary.

5. For any extra services performed during the academic year in connection with sponsored research, an officer of instruction may not receive additional compensation from or through the University in excess of 20 percent of the officer's annual salary. Officers of administration are not eligible for additional compensation.

When an officer of instruction dies during a term, notice should be sent to the Vice President for Personnel Management so that insurance will be paid. If the officer was receiving regular salary at the time of death, such salary is continued for thirty days after the date of death.

DELAYS

Salary payments may be delayed because tax forms and other data have not been filed with the Controller. To avoid delay, all new appointees should fill out promptly all the forms enclosed in the official letter of appointment. Aliens must establish their tax-withholding status and their right to receive remuneration for service in this country by having an alien clearance form submitted in their behalf by an appropriate office.

ADVANCES

In an emergency, the Vice President for Business may authorize a salary advance to officers of instruction.

DEDUCTIONS

Deductions are made as required by law, and by existing contracts entered into by the University, for taxes and for benefits such as group life insurance, major medical expense insurance, and retirement premiums. Requests for deductions for United States Savings Bonds Series E and life insurance premiums payable to Teachers Insurance and Annuity Association should be made in writing directly to the Controller.

The University is required to report the salary of those employees working in New York City or State and must withhold the applicable tax of both residents and nonresidents. Regular University employees who neither live nor work in New York City may claim exemption from city tax when they file form W-4.

All persons are subject to the Federal Old Age and Survivors Insurance coverage and related tax, except those employees who are primarily students in residence at the University. Student status may be indicated on form W-4. Compensation for special services such as proctoring, or fractions of salary for summer research, are added to the next regular check in order to permit the Controller to calculate Social Security payments and federal, state, and city taxes.

The University is not able to advise with respect to interpretations that the Internal Revenue Service may make regarding the tax status of income received during sabbatical leaves, of stipends or grants given by tax-exempt foundations, and of prizes, grants, and fellowships awarded by the University. Recipients should consult the Internal Revenue Service or an accountant or lawyer concerning the tax status of any income received which is not considered by them as compensation for services rendered.

► BENEFITS

The following benefits are provided to all officers of instruction who have appointments for full-time service in a division of the Columbia Corporation. Exceptions are noted under each separate benefit. Coverage for all benefits ceases on the last day of the month coincident with or immediately following the date of resignation or termination of appointment; coverage for certain benefits may continue during sabbatical leaves or after retirement. The Personnel Office will automatically send appropriate booklets and application cards to all eligible officers of instruction. Additional information regarding coverage or conversion privileges may be obtained from the Personnel Office.

MAJOR MEDICAL INSURANCE

Participation in the major medical group insurance plan is required of all officers of instruction who hold regular full-time appointments from the Trustees or the President and who receive their salaries from the University. This requirement is effective from the date of appointment and provides that the officer may elect family coverage within 120 days from date of appointment without medical review or examination. Specifically excluded from coverage are those officers, for example, adjunct, clinical, and visiting professors, whose appointments or salaries are part time or temporary. However, visiting professors may request inclusion under the plan if their appointments cover an academic year of full-time service with salary from the University. Application must be received in the Personnel Office within thirty days of the effective date of appointment.

The plan provides for an 80 percent reimbursement of covered medical expenses, reaching a maximum of $25,000. Coverage for treatment of mental and nervous disorders extends to a maximum of $15,000. The deductible amount is $100 for those who hold Blue Cross–Blue Shield group membership through the University. Those who are not enrolled in Blue Cross–Blue Shield through the University group plan, or who are enrolled in it elsewhere, incur a higher deductible. The monthly cost of this plan is payable by salary deduction.

During a leave of absence without salary the officer may elect either to prepay the major medical premiums or to let them lapse until the return to active service. If the leave exceeds twenty-four months, the major medical coverage is cancelled.

The coverage of an officer of instruction who has been officially retired by the University is continued for the retired officer and enrolled dependents. All premiums are paid by the University during the life-time of the retired officer. The maximum reimbursement is $15,000 for each individual insured under the plan.

BLUE CROSS–BLUE SHIELD

Blue Cross–Blue Shield group insurance is furnished without cost to junior officers and is available to professors and associate professors through salary deduction. All officers of instruction holding regular full-time Presidential appointments in ranks below and including that of assistant professor, and receiving their salaries from the University, are eligible for immediate individual or family coverage under a group Blue Cross–Blue Shield plan that is fully paid by the University. An enrollment card should be completed and returned promptly to the Personnel Office and should indicate the name of the officer's spouse and eligible children. In order that continuity of coverage may be maintained, the identification number of any Blue Cross–Blue Shield coverage already held should also be indicated.

Group coverage, with membership paid by salary deduction, is available to regular full-time officers of instruction in ranks higher than that of assistant professor, as well as to others who are not included in the noncontributory group plan described above, but who have a regularly recurring salary for a period of at least eight months. Application should be made directly to the Personnel Office. In order to join this group it is necessary for the officer to apply within ninety days of the date of appointment to the University faculty, or within ninety days of any change in status requiring a change in the coverage plan. There is an additional opportunity to participate, each year on February 1, for those who did not do so earlier.

Visiting professors, not automatically eligible for all the benefits available to regular full-time officers of instruction, may arrange with the Personnel Office for Blue Cross–Blue Shield coverage to be paid by salary deduction if application is made within ninety days of date of appointment.

Coverage during a leave of absence without salary must be discussed in advance with the Personnel Office in order to avoid a break in coverage.

RETIREMENT ANNUITY PLAN

The University annuity plan is provided by contract with the Teachers Insurance and Annuity Association (TIAA), a nonprofit corporation established in 1918, and with its companion, College Retirement Equities Fund (CREF), also a nonprofit corporation. TIAA invests almost exclusively in bonds and mortgages; CREF in common stocks. Participants may allocate their monthly payments between TIAA and CREF, or make full allocation to either plan.

After retirement the officer's investment accumulation in TIAA will provide a fixed income for life with the amount remaining the same each year, except for dividends as declared. Retirement income from CREF will provide a variable dollar income determined by the number of accumulated units purchased in a diversified common stock fund. The annuity plan has a cash option that permits the annuitant to elect at the time of retirement, if fifty-five years of age or older, a one-sum payment not exceeding 10 percent of the contract's accumulation then being converted to annuity payments. This option first became available on June 1, 1972.

University contributions are restricted to those officers of instruction in categories described below, although participation in the TIAA-CREF plan is available to any officer of instruction on a regularly recurring payroll for a period of at least one academic year. If an officer is appointed to the University on a temporary basis after official retirement, the University makes no further TIAA-CREF contributions.

ELIGIBILITY

Regular full-time officers of instruction, appointed by the Trustees, the President, or the Secretary of the University and receiving their salaries from the University, are eligible for University contributions. Participation is mandatory immediately upon appointment for all officers of professorial rank over the age of thirty-five and after three consecutive years of eligible service for all other regular full-time officers of instruction.

Junior officers and visiting officers of instruction of professorial rank appointed for full-time service for an academic year are eligible for participation in the Columbia University plan if institutional contributions were being made immediately prior to the appointment to the University. It is necessary for the officer to make the request in writing directly to the Personnel Office.

PREMIUMS

The annuity premium is 15 percent of the officer's annual base salary, of which the University contributes 10 percent and the officer 5 percent by monthly salary deduction. For income tax purposes, the officer's contribution may be treated as a "reduction" in salary. When the officer reaches age fifty and has completed fifteen years of full-time service, the University contributes the full 15 percent. After age sixty and twenty years of eligible service, the University increases its contribution to 20 percent. Additional contributions may be made by the officer. The University contributions to TIAA-CREF are not reduced by the payments it makes to Social Security (FICA tax).

An officer of instruction holding a TIAA-CREF annuity contract may elect to make additional tax-deferred contributions within the limits established by the Internal Revenue Service. Arrangements for tax deferments and/or additional contributions are made directly with the Employee Accounting Section of the Controller's Office.

The University continues to contribute its regular percentage to the officer's contract during a sabbatical leave. The officer's percentage also remains the same. However, both are based on the regular full-time salary despite the fact that the actual salary is reduced if the sabbatical leave is for a full year.

When the officer of instruction is on leave without salary, the University discontinues its payments until active service is resumed. The officer may also discontinue payments during that period or may arrange with TIAA to make direct contributions during the period of leave. If the officer is on leave to teach at another institution, it is advisable to inquire if that institution will make payments to replace those normally made by the University.

VESTING

Ownership in the annuity contract, as related to retirement and survivor benefits, is fully vested with the participating officer, when the officer has received a contract directly from TIAA. This is usually within a month after the contract application has been completed and returned to the Personnel Office. There is no loan or cash surrender value. If the officer should die before retirement, the full accumulation is paid to the named beneficiary.

When an officer resigns from the University he may (1) continue the contract at another institution that participates in TIAA, (2) continue making payments on the contract directly to TIAA, (3) discontinue payments and allow the accumulation to increase through interest earnings, (4) start receiving benefits, or (5) request TIAA to repurchase the policy. Such requests for repurchase are granted by TIAA only under very limited circumstances and not if the contract has been in effect for more than five years.

SUPPLEMENTAL RETIREMENT ANNUITY

Supplemental Retirement Annuity (SRA) is a tax-sheltered program through which part of compensation before taxes can be diverted to the purchase of supplemental annuity benefits. The amount put into an SRA program may not exceed the "maximum exclusion allowance," the formula for which is set forth in Section 403 (b) of the Internal Revenue Code, and which takes into account any TIAA-CREF contributions which are being treated as salary "reduction." Taxes on any such contributions—or the earnings on them—will not be paid until they are received in the form of benefits, at which time they are taxed as ordinary income. Unlike the regular TIAA-CREF Plan, SRA has a cash surrender feature, which permits conversion of credited benefits to cash according to the rules set forth in the SRA program contract. This program is optional.

TOTAL DISABILITY BENEFITS PLAN

The University provides a total disability benefits plan for those officers of instruction under age sixty-five who hold a full-time appointment from the Trustees of Columbia University (that is, associate and full professors), receive a full-time salary from the Columbia Corporation, and have completed twelve months of regular full-time service. This is a noncontributory plan of income protection during extended periods of total disability, a combination of a monthly income benefit (proportion of salary) and monthly premium waiver, which assures the participant that there will be a continuing monthly income, and, in addition, monthly premiums continuing to be applied to the TIAA-CREF contract until age sixty-five.

GROUP LIFE INSURANCE

Participation in the group life insurance plan is required of all officers of instruction who hold regular full-time appointments from the Trustees or the President and receive their salaries from the Columbia Corporation. Excluded are those officers, including adjunct, clinical, and visiting professors, whose appointments or salaries are part time or temporary. However, visiting professors may request inclusion under this plan if their appointments cover an academic year of full-time service, with salary from the University. Application must be received in the Personnel Office within thirty days of the effective date of appointment.

Basic coverage becomes effective for those eligible on the date of their appointment. The amount of insurance is determined by the basic annual salary up to a maximum of $25,000. The cost to the officer is forty cents a month for each $1,000 of coverage and is paid by salary deduction; the remaining cost is paid by the University. Optional additional coverage, also related to basic annual salary but not to exceed $25,000, is available at a cost of sixty cents a month per $1,000. However, the additional optional coverage is reduced by 10 percent each December 1 following the fifty-fifth birthday.

The University continues life insurance in an amount equal to one-half the basic amount, not to exceed $5,000, for officers who are officially retired by the University and who had continuous coverage before the fifty-fifth birthday. All premiums are paid by the University for insurance coverage after retirement.

The Personnel Office should be informed promptly when an insured officer dies. The Personnel Office is responsible for the notification to the beneficiary of the policy holder.

Any officer retiring or terminating service with the University has the privilege of converting the group insurance coverage to an individual policy without the necessity of a medical examination. However, conversion requires payment at a rate that is usually much higher than the group rate. Any conversion request must be made to the Equitable Life Assurance Society within thirty days of termination date.

During leave of absence without salary the officer may either elect to prepay or to let the group insurance lapse until return to active service. If the leave exceeds twenty-four months, the group insurance is cancelled.

RESEARCH GRANTS

The University, in order to encourage research, has established the Council for Research in the Social Sciences and the Council for Research in the Humanities. The Dean of the Graduate School of Arts and Sciences administers the funds made available to these Councils and notifies officers of instruction of the dates when applications must be submitted. All applicants for grants from the Councils of Research must meet the following conditions:

1. The officer must be in full-time service in one of the departments in the arts and sciences.
2. The officer must have the Ph.D. degree. Funds granted may not be used to support research work which is directed toward the fulfillment of requirements for advanced degrees. Preference is given to officers of instruction in the junior academic grades.
3. The grants are usually spent during the summer months with the stipulation that the recipient will not teach in the Summer Session at Columbia or elsewhere and that he or she will continue as a full-time officer of instruction for the academic year following the summer of the award. If these two conditions are not met, the funds must be returned.
4. No officer of instruction may receive a grant from the Councils more than three times.
5. The grants may not include any expenses for the dependents of the recipient.
6. Grants usually do not exceed $1,500 and do not continue for longer than six months and all unexpended funds revert to the Councils.
7. A complete accounting of the money expended, together with the itemized bills, is required upon completion of the project.

All inquiries should be addressed to the Dean of the Graduate School of Arts and Sciences.

The various departments and schools may have some funds with which to assist scholarly research and publications of faculty members. Since these funds are neither uniformly distributed nor uniformly available, inquiries concerning them should be made to the department chairman or the dean of the faculty in which the officer serves.

TYPING FUNDS

The Dean of the Graduate School of Arts and Sciences has a small fund available to assist officers of instruction in the arts and sciences departments with typing expenses. Preference is given to junior officers of instruction. No officer may receive more than $150 in a twelve-month period and no more than two grants will be authorized in any academic year. All requests for funds should be submitted by the officer to his department chairman for approval and forwarded to the Dean who will then confirm his approval in writing. The request should identify the project and estimate the probable cost. Payment will only be made directly to the typist upon receipt of the bill. These funds may not be used to pay for typing of dissertations. Any questions concerning typing funds should be addressed to the office of the Dean of the Graduate School of Arts and Sciences.

TRAVEL

CREDENTIALS

Faculty members who plan extended travel in this country or abroad may obtain from the Secretary of the University a letter stating their University connection.

Bearing the seal of the University, the letter often assists the scholar in establishing his or her identity at customs barriers, eligibility for privileges in libraries, and the like. These documents are known as "blue seal letters." When making a request for a "blue seal letter," the faculty member should specify the nation or nations he or she expects to visit.

TRAVEL GRANTS

The Dean of the Graduate School of Arts and Sciences has available a small fund to assist faculty members in the arts and sciences departments with the cost of travel to professional meetings and meetings of learned societies for the purpose of delivering papers, serving on panels, or, for department chairmen, the recruitment of new faculty. Because funds are limited, it is necessary to establish criteria for allocating these funds.

The deans of the professional schools may have travel funds available for their faculty members. Generally, the conditions for the allocation and expenditure of funds are the same as those for the arts and sciences departments. Eligible faculty members should submit requests for travel grants to the appropriate dean.

Eligibility: Only a full-time officer of instruction with the rank of instructor and above is eligible, provided that he or she is scheduled to deliver papers, to act as chairman or panel or board member at, or in preparation for, a stated meeting, or to take part in a scientific or scholarly demonstration. The travel grants do not cover expenses for spouses or children.

Amount: Grants may not exceed the round-trip air coach excursion fare or $300, whichever is less. No expenses other than those of the main transportation from city to city may be defrayed. If travel is by car, a record of mileage is to be submitted. Travel grants may not be awarded for foreign travel, except in the case of a faculty member who is awarded an honorary degree (or the equivalent) by a foreign university.

Procedure: Officers of instruction should submit requests for travel grants to the department chairman for approval and forwarding to the dean. When a large number of faculty members from the same department wish to attend a professional meeting, the dean may ask the chairman to assign priorities to the travel grant requests. The application should be submitted well ahead of time to the chairman of the department. It should state the place and time of the meeting, the responsibilities of the applicant at the meeting, and the cost of the round trip by railroad or air coach. For the Christmas, spring, and autumn meetings of the learned societies, each department chairman should forward together all approved applications, so that the dean may fairly apportion the funds by department. Ticket stubs and receipts for reimbursement must be submitted in order to comply with University accounting procedures.

Any cancellation of a projected trip should be made known to the dean at once, so that the released funds may be reallocated.

Any questions about travel funds should be addressed to the appropriate dean.

TRAVEL ON UNIVERSITY BUSINESS

When a faculty member is requested by the University to represent Columbia at an academic or scholarly meeting, travel and *per diem* expenses will be paid. Invitations from other institutions received by a faculty member to take part in meetings or ceremonies as a Columbia representative may also be covered. In either case, advance approval for estimated expenses must be secured, in the arts and sciences departments from the Dean of the Graduate School of Arts and Sciences, or, in the professional faculties, from the appropriate dean. For later audit, all expenses must be substantiated by a detailed accounting to the Controller.

RESEARCH GRANTS AND GOVERNMENT CONTRACTS

In general, the use of travel funds available through government grants or contracts may be more restrictive than the use of University travel funds. The terms of such contracts or grants should be reviewed before travel expenses are incurred.

Recipients of travel grants should keep copies of their accounts in the event of an Internal Revenue Service audit of their own tax returns.

The regulations of the Treasury Department in effect at the time of travel govern the taxability of the payments made for travel expenses of spouse and family.

For further information concerning University travel policy and procedures for reimbursement of expenses, consult the Office of the Controller.

TRAVEL INSURANCE

At the present time, all full-time faculty and staff members are insured for six times the basic annual salary to a maximum of $100,000 for accidental death when traveling on University service. Dismemberment benefits are also included. This insurance covers attendance at meetings of scientific or professional organizations. Coverage at times other than during the academic year is excluded unless the officer is receiving additional compensation during that time, or the travel is paid for by the University, or the travel is to the meeting of a learned society. Coverage begins with departure from the place of business or residence and continues on a full twenty-four-hour-a-day basis until return to place of business or home, whichever occurs first. Commutation to and from work is excluded. Coverage is further subject to the terms and conditions of the contract; specific questions should be directed to the Personnel Office.

The University travel insurance policy also provides coverage for officers of instruction who are on sabbatical. They may be insured for accidental death and major dismemberment in the amount of six times their annual earnings (which are computed as twelve times the monthly base pay during the month immediately preceding the beginning of the sabbatical), up to a maximum of $100,000, and for minor dismemberment in the amount of one-half of the principal sum.

The establishment of travel insurance is, however, not automatic. The officer of instruction must make specific arrangements by writing to the Office of the Provost before the beginning of the sabbatical travel. The details of the insurance plan are sent when the officer is granted the sabbatical leave.

Sabbatical travel insurance is normally in effect during the period the University is in session—that is, from the date classes begin in September through Commencement Day. Spouses and children who accompany Columbia faculty members on sabbatical travel are not included in sabbatical travel insurance coverage.

Specific questions about coverage should be directed to the Associate Provost's office or to the Treasurer's Office, 125 Maiden Lane.

HOUSING

UNIVERSITY APARTMENTS

The University owns apartment houses on Morningside Heights adjacent to the campus, notably on Riverside Drive, Claremont Avenue, and Morningside Drive, as well as on the cross streets from 112th Street to 120th Street. There are also two fully air-conditioned buildings at 560 Riverside Drive containing 280 apartments, with twenty-four hour doorman service, and garage space available for both the tenants of these buildings and other members of the University who commute by car or who live in the neighborhood.

Near the Columbia-Presbyterian Medical Center are the Bard-Haven Towers apartments, a new fully air-conditioned housing complex of three towers with 400 apartments. One tower is reserved for students at the Medical Center and house officers from the affiliated hospitals of the College of Physicians and Surgeons. The other two towers are available for Medical Center faculty members and staff, as well as faculty members and staff of the Morningside Campus. Garage space is available for tenants on the lower level of these two towers.

With the exception of those in Butler Hall, which is primarily an apartment hotel, most apartments owned by the University are unfurnished. They vary in size from two and a half to eight rooms. These apartments are managed by the University, and the Management and Rental Office in Butler Hall, 400 West 119th Street, supervises the day-to-day operation of the apartments. Application forms for all apartments are available at the Butler Hall office.

The assignment of vacant apartments is handled by the Management and Rental Office in consultation with the Subcommittee on Housing of the Faculty Affairs Committee of the University Senate (406 Low Memorial Library) which sets up and oversees the priority system, based on the accumulation of points for the allocation of the more desirable University-owned apartments. The Subcommittee has recognized that for "compelling reasons," allocations may have to be made outside of the "points system." The Executive Vice President for Academic Affairs and Provost may authorize such exceptions (1) for persons newly appointed to the faculty who do not have housing, (2) in extreme cases to retain the services of especially valuable officers of instruction, (3) for reasons of compassion. All such cases are reported by the Provost to the Subcommittee for their information and approval. In addition, the Subcommittee acts as mediator in disputes between the housing office and faculty. It also reviews housing policy for subleasing, for maintenance of security, for tenants who were but are no longer connected with the University, and for the priorities for Barnard and Teachers College personnel.

Butler Hall is available for both short-term (three months) and long-term (one year) leases for visiting scholars, graduate students, and full-time officers of instruction who would like maid service (optional), twenty-four hour doorman service, and a telephone answering service, as well as luncheon and dinner (also optional) in the terrace restaurant on the roof of the building. Most apartments are furnished, but a few are unfurnished.

PRIVATELY OWNED HOUSING

The Residence Halls Office maintains a registry of off-campus accommodations at 562 West 113th Street for the use of faculty members, staff, and students. It lists furnished rooms and apartments but acts as a referral bureau only. All arrangements are made privately between the prospective tenant and landlord. The New York newspapers as well as the suburban papers carry notices of apartments and houses for sale, rental, and subleasing. Notices are also posted on the bulletin board of Faculty House. The Management and Rental Office in Butler Hall has a list of rental agents that may be of assistance in the location of apartments in the University neighborhood. The Faculty Association newsletter, *Memo,* also carries notices of apartments, cooperatives, and houses.

MORTGAGE LOANS

Under certain conditions the University may grant mortgage loans to full-time officers of instruction with the rank of assistant professor or above. Loans are granted for mortgages only on the officer's primary residence, actually occupied by the officer and his or her family. All mortgage loans are due on the date of termination of employment with Columbia University. Information on terms and conditions of mortgage loans may be obtained from the Treasurer of the University, 125 Maiden Lane, New York, New York 10038.

MOVING EXPENSES

Reimbursement of the expense of moving household goods of persons newly appointed to the University may be authorized by the proper officers under the following conditions:

1. The new appointee is expected to receive, from the Trustees or the President, an appointment as a full-time officer of instruction renewable for a period of years, not as a temporary or part-time or visiting officer.
2. The request for reimbursement is *made and approved before* the appointment has been accepted by the candidate. The department chairman will request authorization in writing for this reimbursement from the appropriate dean and will state that this payment is a necessary part of the offer to the candidate. The dean will then approve the payment *before* the candidate is assured that payment will be made. (The emphasis is necessary because of misunderstandings that have arisen in the past.)
3. Reimbursement is made on the basis of receipted bills for moving costs and in an amount not exceeding $1,000. Costs of packing or storage and of personal travel are not included.
4. Reimbursement for moving expenses resulting from a decision by the Uni-

versity to appoint a faculty member are construed by the Internal Revenue Service as extra compensation and are therefore taxable.

TUITION EXEMPTION

FOR OFFICERS OF INSTRUCTION

Tuition exemption for officers of instruction is granted primarily to assist junior officers who are working for higher degrees. Consequently, exemption from tuition charges is extended only to those full-time officers of instruction holding appointments from the Trustees or the President, and to those part-time officers of instruction and research holding appointments from the Secretary, who are candidates for graduate degrees or statutory certificates. No officer may be a candidate for a degree in the faculty on which he or she holds a seat or with which he or she is associated as an administrator. No officer of professorial rank may be a degree candidate.

Officers of instruction are eligible for tuition exemption when they hold full-time appointments from the President as associates, lecturers, or instructors with salaries from the Columbia Corporation, or hold appointments from the Secretary of the University as preceptors, teachings assistants (I, II, or S), graduate research assistants, departmental research assistants, or readers, and are not on leave of absence.

Exemption from tuition charges is granted for up to fifteen points a term (or the equivalent if the officer is a degree candidate in the Graduate Faculties), except that (*a*) exemption granted readers may not exceed 6 points a term and (*b*) exemption granted teaching assistants I and II is prorated when their assignments are less than those for normal teaching loads. Preceptors and teaching assistants I and II who are New York State residents and who would otherwise receive full tuition exemption benefits will receive these benefits less the amount of Scholar Incentive Awards that they are eligible to receive from New York State. Tuition exemption is *not* granted for courses in which the officer is registered as a special student, nor is exemption granted for comprehensive, medical, or miscellaneous fees, nor for tuition in fee-basis courses and certain enumerated courses at Teachers College.

An officer of instruction whose appointment originates in Barnard College, Teachers College, or the College of Pharmaceutical Sciences can determine eligibility for tuition exemption and the benefits provided by consulting the appropriate department at the affiliated institution.

FOR WIVES AND HUSBANDS OF OFFICERS

Tuition exemption for courses taken in any of the schools of the Columbia Corporation is extended to the wives and husbands of University officers of instruction when the officers (*a*) hold full-time appointments, with salary, from the Trustees of the Columbia Corporation or the President of the University; or (*b*) are on leave of absence with or without salary; or (*c*) are full-time visiting professors. Eligible spouses must meet regular admission requirements for courses and degree or statutory certificate programs. No exemption is granted for comprehensive, medical, or miscellaneous fees; or for tuition in fee-basis courses; or for courses in Barnard College, Teachers College, or the College of Pharmaceutical Sciences. Spouses of deceased officers may complete a program to which they had been admitted before the officer's death.

FOR SONS AND DAUGHTERS OF OFFICERS

Full tuition exemption is granted to sons and daughters (which includes legally adopted children and stepchildren) of full-time officers of instruction, holding appointments, with salaries, from the Trustees or the President of the University. The minor exceptions to this principle are noted in the following paragraphs.

Officers' children must meet the regular admission requirements for courses and degree or statutory certificate programs. The benefits are continued for sons and daughters of deceased officers if the beneficiary was admitted to a program before the parent's death; however, children of deceased officers who served the University full-time for at least ten years and were officers of the University at the time of death will be eligible for benefits. Eligible also are sons and daughters (as defined) of (*a*) retired officers; (*b*) officers on leave of absence with or without salary; (*c*) full-time visiting professors; and (*d*) full or associate professors holding full-time appointments at Union Theological Seminary (only for those courses given at any of the schools of the Columbia Corporation).

Further eligible groups among sons and daughters (as defined) are (*a*) students who are candidates for a degree at another accredited institution of higher learning, provided that the student is in good standing, that is, in attendance at, or on authorized leave of absence from, his or her college, and provided that the courses taken are part of the academic program of the student's college, whether or not point credit is given; and (*b*) students who have completed an undergraduate degree, at Columbia or elsewhere, and need additional preparation for admission to a graduate or professional school, at Columbia or elsewhere. Exemption from tuition charges includes courses, without restriction as to level, which are taken in the University or in Barnard College or Teachers College, in any term or session, provided that the student is a candidate for, and the courses lead to, any Columbia degree or statutory certificate; or provided that the student qualifies for exemption under (*a*) and (*b*) above. No exemption is granted for comprehensive, medical, and miscellaneous fees, for fee-basis courses, and for certain enumerated courses in Teachers College.

An applicant for tuition exemption may obtain further information from the Personnel Office.

An officer whose appointment and salary originates in Barnard College, Teachers College, or the College of Pharmaceutical Sciences should consult the appropriate department in either institution to determine the eligibility of his or her children for tuition exemption benefits.

SCHOLARSHIPS AND GRANTS FOR SONS AND DAUGHTERS OF OFFICERS

NEW YORK CITY PRIVATE SCHOOLS

The children of officers of instruction who attend New York City private schools in any grade from kindergarten through the eighth grade are eligible for small scholarships from University funds, provided that the parent holds a full-time appointment from the Trustees or the President as an officer of instruction, with salary, from the Columbia Corporation, and resides in New York City. The size and number of such scholarships depend on the financial need and number of parents requesting assistance. Application forms and the deadlines for their submission and other information may be obtained from the Personnel Office.

There are several elementary and secondary institutions which encourage Columbia children to attend by offering scholarships based on the parents' ability to pay. When applying for admission to these or other schools, the faculty parent should mention his or her connection with Columbia University. At present, the Columbia Corporation has no programs cr agreements for tuition exchange with New York City private schools. Private schools in the Morningside Heights community are listed below:

The Ascension School, 224 West 108th Street (grades 1–8)

The Bank Street School for Children, 610 West 112th Street (grades N–8)

The Cathedral School of St. John the Divine, Amsterdam Avenue and 111th Street (grades 1–8)

The Corpus Christi Parochial School, 533 West 121st Street (grades 1–8)

The Gardens Nursery School, 90 La Salle Street (ages 3 to 5, including kindergarten)

The Greenhouse Nursery School, 424 West 116th Street (ages 2 years, 8 months to 4 years, 8 months, including kindergarten)

The Riverside Church Weekday School, Riverside Drive and 122nd Street (ages 3 to 5, including kindergarten)

St. Hilda's and St. Hugh's School, 619 West 114th Street (nursery school, kindergarten, and grades 1–12)

The Tompkins Hall Cooperative Nursery School, 21 Claremont Avenue (ages 3 and 4)

UNDERGRADUATE COLLEGE SCHOLARSHIPS

The University will remit to an accredited undergraduate college a scholarship based upon one-half the tuition a term (excluding all fees and charges for room and board) for a total of eight terms, or the equivalent, for sons and daughters (which includes legally adopted children and stepchildren) of full-time officers of instruction (including retired officers) who hold direct appointments from the Trustees or the President of the University, and who receive salaries from the Columbia Corporation. The benefits are continued for sons and daughters of deceased officers if the beneficiary was admitted to a program before the parent's death; however, children of deceased officers who served the University full-time for at least ten years and were officers of the University at the time of death will be eligible for benefits. To be eligible, children must be enrolled in (*a*) a four-year course leading to a bachelor's degree, or (*b*) in a course leading to two bachelor's degrees as in the Combined Plan of the School of Engineering and Applied Science or (*c*) in a nonterminal program of a junior college that anticipates transfer to a four-year undergraduate institution. Tuition for attendance during a summer session will be paid only when (*a*) attendance is required as a regular part of the academic year or (*b*) attendance will permit the student to complete the requirements for the degree at an earlier date than normal. In such cases of anticipated early graduation, the payment of the scholarship for summer session attendance will not be made until the early graduation date occurs. Scholarships will not be granted for summer session attendance that is required for the removal of deficiencies or the make-up of failures.

Applications and further information concerning these scholarships can be obtained from the Personnel Office.

AUDITING PRIVILEGES

Officers of instruction (including retired officers) and their spouses may, with the consent of the instructor, audit lecture courses in any school of the Columbia Corporation without registration, payment of fees, or enrollment for academic credit. This privilege does not apply to seminars or elementary language courses.

IV. Officers of Research

▶ GRADES OF OFFICE

The following are the grades of office in order of precedence for officers of research in the University: research professor (except in the Faculty of Medicine), senior research associate, research associate, senior staff associate, staff associate, graduate research assistant, and departmental research assistant.

Research appointments are for a stated term (i.e., without tenure). Except for the temporary title of research professor, professorial and other instructional titles may be held only by persons with teaching duties. Research titles may not be held at the same time as instructional titles, except for the titles of lecturer and research associate which may be held concurrently; approval of the President is required for any other exceptions. The incumbent for a named research professorship is appointed for the primary purpose of engaging or cooperating in research; these appointments are not held for more than one year.

Appointments to the grades of senior research associate and research associate are held by officers with the doctorate or its professional equivalent. Such officers are appointed for a term not to exceed twelve months of full-time or part-time service and are primarily engaged in research. The qualifications of a senior research associate correspond to those of an associate or full professor, of a research associate to those of an instructor or assistant professor.

Appointments to the grades of senior staff associate and staff associate are for a term not to exceed twelve months of full-time or part-time service for the primary purpose of cooperating in research or conducting equivalent professional activity. A senior staff associate must have at least eight years of professional experience in his or her field, a staff associate at least four years.

A graduate research assistant is a full-time candidate for a graduate degree at Columbia University who is engaged in research that is in direct fulfillment of a requirement for the degree and who is appointed for a term not to exceed twelve months. This rank may not be held for more than five years.

A departmental research assistant is ordinarily a full-time candidate for a graduate degree at Columbia University who is appointed annually for not more than four years to assist a department or one of its regular members in research.

▶ APPOINTMENT PROCEDURES

All officers of research are appointed annually for not more than twelve months of service and are reappointed for each additional twelve months of service, with limits on reappointment to the ranks of graduate and departmental research assistant as stated. (See GRADES OF OFFICE, above.)

The Wesley Clair Mitchell Research Professor of Economics is appointed by the Trustees, on the recommendation of a University committee. All other officers of research except those holding appointments in graduate student grades are appointed by the President on written nomination of the department chairman or institute director and with the approval of the appropriate dean.

► OBLIGATIONS AND RESPONSIBILITIES

In accepting a University appointment, an officer of research recognizes that his primary responsibility is to the University and that no officer of research "shall be employed in any occupation or outside interest which interferes with the thorough, efficient, and earnest performance of duties of his office." He is expected to conduct his work within the limits set forth in the "Statement on Professional Ethics and Faculty Obligations" (Appendix I), "Externally Funded Research and Instruction" (Appendix III), and the policy statement of the University "Conflict of Interest" (Appendix IV).

In giving any opinion or certificate concerning the merits or claims of any business undertaking or any scientific or practical invention, an officer of research shall not use the official title of the University or of any of its parts, or refer to his or her professional connection therewith, without approval of the Trustees (Section 60 of the University Statutes). (See also page 34 for policies on use of the University name and pages 37–38 for policies on publication contracts and patents.)

► GRIEVANCE PROCEDURES

Officers of research who hold appointments from the President of the University have access to grievance procedures established by the University for officers of administration, research, and the Libraries. Officers who wish to make use of the procedures, which make provision for a hearing if necessary, should apply to the Vice President for Personnel Management.

► PAYMENT OF SALARY AND BENEFITS

SALARY

Full-time officers of research who hold an appointment from the President are paid in twelve monthly installments during each annual appointment.

VACATION

Full-time officers of research holding an appointment from the President receive a vacation of one month or twenty-three working days each year, ending June 30, and proportionate vacation during the first year of service if appointed after July 1. An officer of research does not receive pay in lieu of unused vacation, except upon termination of employment and then only for the current year.

BENEFITS

Officers of research holding appointments from the President or the Secretary of the University have the same benefits, subject to the same restrictions, as officers of instruction holding such appointments. (See BENEFITS, pages 42–55.)

V. Institutional Facilities and Services

For office locations and telephone extensions consult the yellow classified pages at the end of the University Directory.

► ACCIDENTS AND EMERGENCIES

Telephone extension 5555. See also Buildings and Grounds, *page 61,* Medical Services, *pages 71–72,* and Security Office, *pages 78–80.*

► ALUMNI RECORDS CENTER

The names and addresses of the alumni of all divisions of the University are on file and kept up to date in the University Alumni Records Center. The Center can promptly and accurately produce lists by school, class, and other categories, for reference and mailings. This office also has available lists of the names and addresses (home and office) of the teaching and administrative staffs of the University and maintains the lists used in the distribution of bulletins, reports of deans, and other University publications. In accordance with University policy the services of this office cannot be used by commercial organizations or by any person, whether or not a member of the University, for the purpose of addressing to faculty members, alumni, or staff material which falls in the categories of commercial or propaganda mailing.

► ARDEN HOUSE

Arden House, an estate given to Columbia University by W. Averell Harriman in 1950, is the home of the American Assembly, a national conference and discussion program founded at Columbia, also in 1950, by President Dwight D. Eisenhower. Arden House is situated in the Ramapo Mountains some forty-eight miles north of New York. Between the meetings of the American Assembly, Arden House is used for meetings of University and other groups having educational or public interests.

Arden House can accommodate 110 guests in its 56 bedrooms. Conference rooms of various sizes, a dining room and terrace, and other offices accommodate several hundred people. Arrangements for the use of Arden House should be made through the manager, whose office is at Arden House, Harriman, New York 10926.

► ATHLETIC FACILITIES

See Recreation and Athletics, *pages 75–76.*

► AUDIO-VISUAL AIDS OFFICE

Requests for audio-visual equipment should be made by telephoning or writing the Audio-Visual Aids Office, 111 Mathematics, at least one week before the time of anticipated use.

Equipment is intended primarily to assist persons in the performance of University duties. Thus no charge is made for the use of equipment by University teaching and research offices. Student organizations are charged only for the use of 16 mm. sound projectors and public address systems. Columbia affiliates are charged for all use of equipment. All users are charged for any services that they may require from student employees (as projectionists, for tape recording sessions, etc.). Any outside organization or person who has engaged University space (such as McMillin or other auditoriums) is charged both for equipment use and engineers' time.

In addition to providing equipment and engineer services, this office produces overhead transparencies at cost and duplicates reel-to-reel and cassette audio tapes. Costs of the tapes vary, depending on the quantity and the kind.

All purchase requisitions for audio-visual equipment that are charged to Columbia accounts must be approved by the Audio-Visual Aids Office before being submitted to the Purchasing Office.

AUDIO-VISUAL SERVICE OF THE HEALTH SCIENCES

The Audio-Visual Service has the facilities to provide art work and photography on a cost basis. In addition, there is a fully equipped videotape production facility for studio and on-site recording. One lecture amphitheatre is equipped with multiple monitors for audience viewing of videotapes. Audio-visual equipment and projection is provided without charge for student teaching. The Rudin Media Center in the Health Sciences Library provides facilities for audio-visual and computer-aided self-instruction.

► BOOKSTORE

The Bookstore is on the ground floor and in the basement of the Journalism Building. It is operated under a concession arrangement with Barnes & Noble as a service for faculty members and students. A 10 percent discount is available to faculty and staff members upon presentation of a University Identification Card.

The first-floor College Bookstore sells hardcover texts and paperbacks, reference works, and study aids. The Bookstore will order any book not on the shelves and can often fill orders overnight. It will also buy used books. The Everything Else Store, in the basement, sells hardcover and paperback books, records, gifts, stationery and art supplies, and so forth. A check-cashing service is also available.

A branch of the Bookstore is located at the Medical Center, 650 West 168th Street.

► BUILDINGS AND GROUNDS

The buildings, the grounds, and the mechanical and electrical e[illegible] of the University are maintained by the Office of Buildings and Grounds, [illegible]1 Low Memorial Library. Its regular duties include only upkeep and repairs. Alterations or the addition of air conditioning units are undertaken only after they have been approved by the Office of Space Utilization and the necessary funds have been provided.

During normal working hours, if any need or emergency arises involving the physical plant, notify the following:

For repairs to furniture, office and building structure, window air conditioning units, elevators, utilities, and mechanical equipment: call the work reception desk in the Office of the Superintendent of Maintenance.

For service involving the heating system or central air conditioning: the Chief Engineer.

For janitorial and housekeeping matters (including rubbish removal, changing light bulbs, locked classroom doors): the Superintendent of Services.

After hours, and on Saturdays, Sundays, and holidays, notify the following:

For emergency situations (fire, floods, leaks, accidents, police or security matters): the Security Office (extensions 2796 or 5555).

In the yellow pages of the *Columbia University Directory*, under Buildings and Grounds, additional functions of that office are listed with the telephone extensions which are to be called for information or assistance.

Since the University's annual bill for electric power and heat is over four million dollars, it is urgently necessary that waste be avoided. The easiest and most effective saving is gained by simply turning off lights and equipment when they are not needed, keeping thermostats at sixty-eight degrees or lower, and dressing sensibly. All members of the University are asked to cooperate in this urgent matter.

► CEMETERY PLOT

The University has owned a cemetery plot in Greenwood Cemetery since 1841. Upon authorization of the President, the Provost, or the Secretary of the University, arrangements may be made for the interment of deceased officers of instruction there.

▶ CHECK-CASHING FACILITIES

Personal checks in a limited amount drawn by faculty members, students, and staff may be cashed at the Student Accounting Division, 210 Kent, Monday through Friday, 2:30 to 4:30 p.m., or at the Bookstore, upon presentation of the University Identification Card. Members of Faculty House may cash checks there.

University payroll checks may be cashed at neighborhood banks upon presentation of the University Identification Card.

▶ CLASSROOM ASSIGNMENTS

See Registrar's Office, *page 76.*

▶ COLUMBIA COMMITTEE FOR COMMUNITY SERVICE

The Columbia Committee for Community Service is a volunteer group of Columbia wives, faculty members, and staff who annually conduct the Columbia Community Chest drive. Some neighborhood grass-roots agencies that are too small to qualify for funds from the United Fund are aided by the Committee, which cooperates with the United Fund of Greater New York and the American Red Cross so that one annual appeal on campus replaces separate solicitations by organized charities.

The Committee operates a Gift Shop at 101 Dodge, on the northeast corner of Broadway and 116th Street. The Shop raises money, mainly for student emergency funds, through the sale of china, glass, silver, jewelry, books, knickknacks (new, used, and antique), baked goods, and plants. Donations of such items are sought; a receipt for tax purposes is given. In the spring and the autumn the Shop's Flower Committee sells flowers and bulbs.

▶ *COLUMBIA UNIVERSITY FORUM*

The *Columbia University Forum* is a quarterly magazine of fact and opinion issued on a subscription basis to interested alumni, faculty members, and friends of the University.

▶ COLUMBIA UNIVERSITY PRESS

Columbia University Press, founded in 1893 by a group of Columbia scholars and officers, is an independent, not-for-profit corporation under the direction of a board of trustees elected from among faculty members, officers, Trustees, and alumni of the University, publishers, and businessmen. It publishes books embodying the results of original scholarship and standard reference works such as *The Columbia*

Encyclopedia, The Columbia-Lippincott Gazetteer of the World, and *Granger's Index to Poetry.*

Many Press publications are for advanced specialists, while others present the results of research in a form accessible to students and general readers. In the promotion and distribution of its books—both in the United States and, through its London office and other agents, throughout the world—the Press uses the practices and techniques of general publishers. It adheres to high standards of book editing and manufacture.

The Press functions in close association with many faculty members and administrative officers of the University. It publishes many books by Columbia scholars and works written or edited under the auspices of schools, institutes, departments, and faculty committees of Columbia University. It seeks the opinions of faculty members on the soundness of works under consideration, draws from among faculty members the Publication Committee that must approve the acceptance of any work, and welcomes questions about any aspect of publishing from Columbia faculty members and staff. At the same time, it brings before its Publication Committee, and publishes under the Committee's authorization, appropriate works by scholars anywhere in the world.

A division of the Press, the Center for Mass Communication, distributes a wide variety of educational materials in such audio-visual forms as motion pictures, radio broadcasts, and television programs.

► COLUMBIANA COLLECTION

See Brief History of Columbia, *pages 4–6.*

► COMPUTING ACTIVITIES

See University Center for Computing Activities, *pages 80–81.*

► CONTROLLER'S OFFICE

The Office of the Controller, 2 St. Clair Place (adjacent to 560 Riverside Drive), is responsible for the recording and the processing of the financial data of the University. The five major operational sections of the Office of the Controller are general and government accounting, government projects, student accounting, employee accounting, and accounts payable.

The general and government accounting section is responsible for the accounting and reporting on various University gifts, receipts, and endowment funds, and the submission of government agency reports for funding.

The government projects section is responsible for the preparation and submission of final reports of expenditures on government contracts and grants.

The student accounting section records, maintains, and bills all students' accounts receivable. It is also responsible for the collection and safeguarding of all cash received in payment of students' accounts and departmental deposits.

The employee accounting section is responsible for all authorized payroll processing and disbursement.

The accounts payable section is responsible for the payment of all authorized University pay orders, purchase orders, travel advances, travel reimbursements, and other related items on University and government accounts.

Faculty members with specific accounting problems may consult the field accountants in the Office of the Controller for assistance. The *University Directory* contains a full listing of the sections in the Office of the Controller. The directory should be consulted for the particular section to call for information.

▶ DENTAL SERVICES

See Medical Services, *pages 71–72.*

▶ EARL HALL

See Religious Activities, *page 77.*

▶ EMERGENCIES

See Buildings and Grounds, *page 61,* Medical Services, *pages 71–72, and* Security Office, *pages 78–80.*

▶ FACULTY ASSOCIATION

The Faculty Association provides a variety of opportunities for members of the University community to become acquainted through Association-organized activities. Membership is open to all members of the faculty, administration, and staff, together with their husbands and wives. Dues are moderate. The Association usually arranges a party for newcomers in the autumn, and other receptions and dances throughout the year. It sponsors a program series, dances, and parties for children of the University community and organizes family excursions and picnics. It serves coffee to students during registration. With the Columbia Committee for Community Service, the Association cosponsors *Memo,* a monthly newsletter of information about the University and the Morningside community containing advertisements for apartments, furnishings, services, and so forth. Profits benefit the Columbia Community Chest.

► FACULTY HOUSE

Faculty House at 400 West 117th Street (corner of Morningside Drive) offers its facilities to all officers of instruction and administration and to certain other members of the staff. Spouses may use the facilities and may obtain charge cards at the office. Dues are moderate and are scaled according to academic rank. Monday through Friday the House serves lunch and dinner. Private rooms for dinners, meetings, and receptions are available Monday through Saturday. The House manager may be consulted for details.

(See also MEDICAL CENTER FACULTY CLUB, page 71.)

► FRIENDS OF COLUMBIA LIBRARIES

See page 70, under Libraries.

► INFORMATION AND VISITOR SERVICES

Information and Visitor Services, a division of the Office of Public Information, maintains an Information Center in 201 Dodge, near the main entrance to the campus (Broadway and 116th Street). It handles telephone, mail, and over-the-counter queries concerning all aspects of the University. It maintains a file with up-to-the-minute information on campus activities open to the public (also reported weekly in *University Record*) and acts as a clearing house for University events.

Visitor Services is prepared to make special arrangements—briefing sessions, tours conducted in foreign languages, and appointments for individual visitors or groups (American or foreign)—with appropriate members of the faculty and administration, who also are urged to avail themselves of the services of the program officers and escort-interpreters for their academic and professional guests.

Tours of the campus are given during the academic year every afternoon at 3 p.m., Monday through Friday. During the summer tours start at 10 a.m. and 2 p.m., Monday through Friday.

► INSTITUTES, PROGRAMS, BUREAUS, AND CENTERS

An *institute* is an interdepartmental administrative unit approved by the University Senate and authorized by the President on the authority of the Trustees. It is composed of officers of instruction, who must be members of regular departments in the University, and such officers of research and technical staff as are appointed. The institute serves to develop and coordinate research and instruction in certain fields that are interdisciplinary in scope and that combine the subject matter of several departments. The salaries of regularly appointed officers of instruction cannot be carried in an institute budget, but institutes may reimburse departments for services rendered by such officers of instruction.

The curriculum of an institute consists of courses approved by the appropriate faculty or administrative board. A student in the institute, before being accepted as a candidate for an institute certificate, must be admitted as a candidate for an advanced degree in a faculty whose officers of instruction may also staff the institute or administrative board. The student must fulfill the prescribed course requirements for that advanced degree.

Each institute has as its administrative committee a director, the dean of the appropriate faculty, and not fewer than four other persons nominated by the President and appointed by the Trustees for a term of three years.

The *Regional Institutes* of the Faculty of International Affairs are staffed by officers of instruction from the various faculties and by officers of research appointed for their special expertise or technical knowledge. The purpose of these institutes is to bring together scholars from different academic disciplines to advance the knowledge of specific areas of the world and to provide programs of graduate research and instruction encompassing these areas.

Programs are research and administrative units which are comparable to institutes but which have not attained the same degree of permanence within the University structure. The appointment of officers of instruction to a program, the establishment of a curriculum, and the admission of students to a program correspond to the like aspects of an institute. A *special program* is a noncredit program of short duration, sponsored by a faculty of the University, to serve the needs of certain groups of individuals. Special programs may not present statements of attendance or certificates of any kind without the specific approval of the University Senate. Exceptions to this general rule are some of the special programs conducted by the Summer Session.

Bureaus are research organizations established by the University Senate and associated with a faculty or one or more departments within a faculty.

Centers are administrative units that provide University-wide services. The term is also used to designate a subordinate unit of a school or department devoted to a specific academic area.

Institutes, programs, bureaus, and centers are listed in the *University Directory*.

▶ LANGUAGE LABORATORY

The Language Laboratory, 306 Philosophy, is available to officers of instruction who wish to perfect their speaking knowledge of foreign languages. Since, however, the primary purpose of the Laboratory is to serve students enrolled in foreign language courses as a part of regular instruction, the use of the facilities by officers of instruction depends on the availability of booths and tapes. Arrangements may be made by calling the Laboratory.

▶ THE LIBRARIES

Library resources at Columbia, consisting of more than 4.5 million volumes, are organized into a system of libraries designed to serve the instructional and research needs of the University. The underlying objective of the organization of the libraries into five distinct collections and three service centers is the provision of specialized library and information services within the context of a coordinated library system.

The five Collections—Law, Health Sciences, East Asian, Avery Architecture, and Special Collections—represent comprehensive, historically distinct collections acquired and maintained in support of specialized academic programs. The three Centers—the Humanistic and Historical Studies Center, the Social Science Center, and the Science and Engineering Information Center—coordinate the departmental and professional school libraries into broad disciplinary groupings to provide increased access to resources through consolidation of resources and information services within the traditional academic disciplines.

The central research collection of more than a million volumes in the humanities and in historical and social science materials is in Butler Library. More recently acquired social science research materials are housed in the Herbert Lehman Library of the School of International Affairs. The science and engineering collections are decentralized and are distributed among the departmental libraries.

The central record of holdings of all libraries is the card catalog in the Reference Department, 325 Butler Library. General reference service, as well as more specific information concerning the resources of the Libraries, is provided in 325 Butler Library. Faculty members are encouraged to consult with the Library staff regarding holdings and services of the Libraries in order that both the immediate and the long-range needs of students and faculty members may be served. Librarians are also available to meet with academic departments on library matters of mutual concern.

HOURS

Since hours vary considerably in the several divisions, schedules are posted in each library. The Library Information Office, 234 Butler Library, also provides this information. For holiday and intersession periods, the schedules posted in each library should be consulted.

FACULTY BORROWING PRIVILEGES

The University Identification Card must be presented when withdrawing books from the Libraries. Newly appointed faculty who have not yet received an Identification Card may obtain a temporary library card in the Library Information Office, 234 Butler Library.

Faculty members and other officers of the University may borrow books for a maximum of six months, except from collections which are noncirculating or which have been established primarily for students' course work. Books which have not been returned or renewed after the end of the six-month period will be presumed lost, and the borrower will be billed for the cost of replacement. Books needed by others or required for reserve will be recalled by the Libraries. Prompt response to recall notices is essential. Books should be available at all times and should not be left in offices over the summer or during academic leaves of absence. A former faculty member whose affiliation with the University has been terminated does not retain borrowing privileges and is required to return all library books. Retired faculty members are issued permanent University identification cards which entitle them to library privileges.

Deputy Borrowers: To facilitate the routine withdrawal of books from the Libraries, officers of instruction above and including the rank of assistant professor, officers of administration, and officers of research may designate a deputy borrower. The officer is responsible for the return of all material borrowed in his or her name by the deputy. Applications may be obtained in the Library Information Office, 234 Butler Library.

Family Privileges: Spouses and children may have regular borrowing privileges. Library cards may be obtained in the Library Information Office, 234 Butler Library. Families of retired professors and widows and widowers of long-term faculty members are also eligible.

AFFILIATED INSTITUTIONS

University faculty members, students, and staff are eligible to use the libraries of Barnard College, Teachers College, the College of Pharmaceutical Sciences, and Union Theological Seminary.

STACK PRIVILEGES

All students, faculty members, and other officers of the University have access to the main stacks, which are reached through the circulation desk on the third floor of Butler Library. The stacks close fifteen minutes before the library closing hour. No briefcases, coats, or umbrellas are allowed in the stacks; these may be left in the cloakroom on the entrance level. All readers are required to show a valid University Identification Card at the stack entrance.

REFERENCE SERVICES: INDIVIDUAL CONSULTATION AND CLASS INSTRUCTION

Librarians in the Reference Department, 325 Butler Library, are prepared to give bibliographic assistance to faculty members who apply to them in person or by telephone. In addition, reference services are available in the individual departmental and professional school library units. Individual consultations by appointment are offered to students and faculty members engaged in research. Instruction in the use of library resources is available to both undergraduate and graduate classes. General lectures in the subject field or specialized lectures designed for specific paper assignments are given in either the library or the classroom. The Library Resources Utilization Office coordinates the instructional program.

INTERLIBRARY LOAN

Faculty members who need books that are not in any Columbia collection may ask to have them borrowed through interlibrary loan. This service is available in the Interlibrary Loan Office, 322 Butler Library, in the Law Library, and in the Health Sciences Library, where the terms of the loan may be explained.

RESERVE BOOKS

Well before the beginning of each term, faculty members will receive requests for lists of books to be placed on reserve for their courses. Lists should contain only those books which contain required readings for the course. Textbooks, titles readily available in paperback, and suggested (as distinct from required) reading should not be included. Since it is likely that the Libraries will not hold sufficient copies of all titles, lists must be turned in as early as possible to allow time for the purchase and processing of new books. When compiling reading lists, faculty members are urged to investigate beforehand the holdings of the Libraries and to keep in close touch with the librarians handling reserve lists to ensure that the material to be assigned is or will be available.

In general, books for courses in Columbia College and the School of General Studies are put on reserve in the College Library, 225 Butler Library. To place books on reserve in the departmental libraries, contact the librarian in charge of the appropriate library.

RUDIN MEDIA CENTER

The Rudin Media Center, in the Health Sciences Library, is designed for self-instruction by means of videotape, film, and sound and slide equipment. This technically advanced facility in the Health Sciences Library emphasizes the increasingly varied role the Libraries play in the educational process.

PHOTOGRAPHIC SERVICES

Services are maintained primarily for University faculty members, students, and staff members who wish to have copies made of materials owned by the Libraries. Quick copies, microfilms, photographic negatives, and contact prints may be ordered. The cost of this service is charged to the individual or department placing the order. Details about processes and fees may be obtained from the Head of Photographic Services, 110 Butler Library. Copies of personal materials may be made on the coin-operated machines in most of the departmental and professional school libraries.

STUDIES AND DESKS

Private study cubicles are available on the upper floors of Butler Library. Applications should be made through the academic department to which the faculty member belongs. Upon request, desks in the main stacks in Butler Library are assigned to graduate students and faculty by the Library Information Office, 234 Butler Library.

RECOMMENDATIONS FOR BOOK PURCHASES

Faculty members are invited to recommend the purchase of books which would add to the strength of the collections in general and which would help them in their teaching and research. Recommendations for book purchases may be made to the librarian in charge of the appropriate subject library or to the Director, Library Resources Group, 211 Butler Library. There is also a box for written recommendations in the Reference Department, 325 Butler Library. Full citation of the work requested will facilitate its acquisition. Requests for unusually large purchases must be discussed with staff members in the appropriate libraries, with the Director, Library Resources Group, or with the University Librarian.

CONSULTATION ON DISPOSAL OF PRIVATE LIBRARIES

Officers of the Libraries are prepared, on invitation, to consult with members of the faculty who wish to dispose of their private libraries, indicating which books might be useful to the Libraries, which books might be offered to other institutions or to book dealers, and which dealers seem most likely to be interested in books of various types. Although formal appraisals cannot be undertaken, some suggestions can be made as to methods of estimating values. Inquiry may be made to the Director, Library Resources Group, 211 Butler Library, or to the University Librarian. Gifts of important correspondence, manuscripts, and rare books are accepted after review by the Librarian for Rare Books and Manuscripts, 801 Butler Library. There also is a special program to provide the opportunity for making gifts in honor of or in memory of individuals.

SENATE LIBRARY COMMITTEE

This standing committee reviews and recommends University policies relating to all aspects of the University Libraries. The Senate Library Committee also provides the University Librarian with a means for obtaining advice and action on matters requiring University support for implementation. To reach the committee, call the Senate Office.

OTHER LIBRARY COMMITTEES

Some academic departments and professional schools have advisory library committees which meet regularly and are composed of faculty members, students, and librarians. Others appoint a faculty member as library representative for the department.

FRIENDS OF THE COLUMBIA LIBRARIES

The Friends of the Columbia Libraries is an organization of individuals within and outside of the University who promote interest in the Libraries and contribute funds or books to the Libraries. Activities sponsored by the Friends include the annual Bancroft Awards Dinner and evening meetings at which lecturers speak on library, literary, and historical topics. *The Columbia Library Columns* is published by the Friends three times a year. Those interested in additional information should consult the Librarian for Rare Books and Manuscripts, 801 Butler Library.

BOOK SALES

Surplus library books are sold on a regular schedule in 205 Butler Library. This service is available to University faculty, students, and staff upon presentation of a University Identification Card.

► LOST AND FOUND

All articles found in University buildings or on University property should be turned over to the Lost and Found Department in 111 Low Memorial Library. Items are tagged and stored until claimed or disposed of in due course.

► MAIL ROOM

The Central Mail Room is located in 101 University Hall. It is entered through the driveway at West 119th Street and Amsterdam Avenue. There local mail is sorted and some U.S. Parcel Post is received. Pickup and delivery boxes for local mail are placed in the lobbies of most campus buildings. Monday through Friday there are two pickups and deliveries in each building between 8 a.m. and 4 p.m. There are also pickups and deliveries at the Medical Center, Teachers College, the Columbia University Health Service at St. Luke's Hospital, Lamont-Doherty Geological Observatory, and Nevis Laboratories.

For a number of campus buildings, U.S. Parcel Post, including books, is received in the Mail Room and delivered to the appropriate department.

► MEDICAL CENTER FACULTY CLUB

The Medical Center Faculty Club is housed in Bard Haven Towers, 100 Haven Avenue, Apartments 17C and 17D. The Club is open daily for luncheon and (by reservation) for committee meetings, receptions, and dinners. Overnight accommodations are available for visitors to the Medical Center. Arrangements may be made by consulting the manager.

(See also FACULTY HOUSE, page 65.)

► MEDICAL SERVICES

UNIVERSITY HEALTH SERVICE

The University Health Service is housed in St. Luke's Hospital on the second floor of the Clark Building. The entrance is at 1091 Amsterdam Avenue between 113th and 114th Streets. This office is operated by the University for the benefit of all members of the University.

The Health Service gives emergency treatment and medical advice to officers of instruction, research, and administration and to their spouses, but not to their children. Its physicians are not available after office hours, do not make home visits, and cannot continue care in a hospital. Therefore, it cannot act as a personal physician and cannot assume the responsibility of caring for severe, acute, or chronic illness. When recommended by Health Service physicians, x-rays, laboratory examinations, and other tests are made; fees are billed directly to the patient at the rate paid by the Health Service. Tests recommended by outside physicians are not made.

DENTAL SERVICE

Restorative dentistry, periodontia, oral surgery, children's dentistry, orthodontia, and preventive and consultative services are available at established clinical fees in the teaching clinics of the School of Dental and Oral Surgery for faculty members and their families and for students and employees of the University. Registration hours are 9 to 11 a.m. and 1 to 3 p.m., Monday through Friday. Further information may be obtained by telephoning the School.

ACCIDENTS

For major accidents involving serious personal injury or death, or physical emergencies such as explosion or fire, dial extension 5555, which is the University extension for reporting major accidents and medical emergencies. For minor accidents requiring medical assistance, call the University Medical Office (tie line) 161-6566. If the patient is able to walk, during the hours of 9 a.m. to 5 p.m., he or she should go to the Health Service; at other times, to St. Luke's Emergency Room, between Amsterdam Avenue and Morningside Drive on 113th Street. If the patient is unable to walk, call the Security Office, extension 2796, for a stretcher or wheelchair. For accidents requiring other than medical assistance, call the Security Office.

In accidents involving radiation equipment, the Health Physics Officer, extension 4442, must be notified.

All accidents—whether to a faculty or staff member, student, or visitor, and whether of a major or minor nature—should, after help has been given, be reported at once to the proper University offices: on the Morningside campus, the Personnel Office and the Security Office; at the Medical Center, the Security Office in the College of Physicians and Surgeons, 630 West 168th Street.

DONATION OF BODIES

The education of doctors requires a detailed knowledge of the structure of the human body derived from courses in anatomy. The Department of Anatomy invites inquiries from individuals who would consider donation of their bodies for this humanitarian purpose. Complete information on this bequeathal program is available on request from the department.

► NEW YORK PUBLIC LIBRARY

A branch of the New York Public Library is housed in Butler Library. Its entrance is on West 114th Street, at No. 521, between Broadway and Amsterdam Avenue.

► NOTARIES PUBLIC

Faculty members and officers of administration who have papers to be notarized may usually avail themselves of the services of the University notaries public in the following offices: Information and Visitor Services, 201 Dodge; Office of the

Registrar, 201 Philosophy; and 411 Lewisohn. The papers must be taken to them in person.

▶ PARKING FACILITIES

MORNINGSIDE CAMPUS

The Engineering Terrace Building has two basement parking floors with attendant parking. The garage is open from 7:30 a.m. to 11 p.m., Monday through Friday, and from 7:30 a.m. to 6 p.m. on Saturday. It is closed on Sunday.

The International Affairs Building has parking facilities with attendant parking. The garage is open from 7:30 a.m. to 11 p.m., Monday through Friday. It is closed on Saturday and Sunday.

Each year, Riverside Church allots to Columbia a limited number of spaces in its underground parking garage at 120th Street and Riverside Drive.

Cars are not permitted to remain overnight in any of the above garages.

Two outdoor lots at 606 and 609 West 115th Street provide space for approximately forty-five cars. Each person authorized to park there is issued a key which permits access twenty-four hours a day.

Assignments of space in the parking facilities listed above, for which a monthly fee is charged, are made by the Office of the Vice President for Business. Applications are available in that office, at 313 Low Memorial Library.

The garage of the faculty housing complex at 560 Riverside Drive provides space for commuters and area residents. Assignments of space there are made by the University Housing Office, 400 West 119th Street. Applications and information are available in that office.

A booklet entitled "Where to Park," published by Teachers College, gives useful information on the subject. It may be obtained from Information and Visitor Services, 201 Dodge.

COLUMBIA-PRESBYTERIAN MEDICAL CENTER

Presbyterian Hospital maintains two parking facilities at the Medical Center. Assignments of space are made by the Personnel Department of the Hospital.

The lot at 165th Street and Broadway is reserved for attending staff at the Hospital and is open from 6 a.m. to 11 p.m.

The parking garage at 165th Street and Fort Washington Avenue is open twenty-four hours a day for faculty members, staff, and employees.

Bard Haven Towers, the housing complex near the Medical Center, provides garage space for its tenants. If there are any vacancies, faculty members and staff at the Medical Center may apply for parking space. Applications and information are available at the Housing Manager's Office at the Towers.

▶ PERSONNEL OFFICE

See Benefits, *pages 42–55.*

► PROJECTS AND GRANTS

See Procedures for Filing Proposals for Externally Funded Research and Instruction, *pages 34–36*.

► PUBLIC INFORMATION

Press relations, internal communications, visitor services, and publications are under the jurisdiction of the Office of Public Information. This office maintains liaison with the working press and disseminates news of University activities to local and national media. The *University Record* and *Columbia Reports* are issued periodically to convey information of general interest to the campus and alumni communities, respectively. (See also INFORMATION AND VISITOR SERVICES, page 65, and OFFICE OF UNIVERSITY PUBLICATIONS, pages 74–75.)

► PUBLICATIONS OF THE UNIVERSITY

The University provides space for and subsidizes numerous scholarly publications, annual reports, and bibliographies, of departments and divisions of the University, as well as publications of alumni affairs, students, and resident nonaffiliated organizations. Names, addresses, and telephone numbers are listed in the *University Directory*.

OFFICE OF UNIVERSITY PUBLICATIONS

This office provides the faculty and administration with the services required for production of all official University printing and publications in accordance with University standards and regulations. The work of the office includes bulletins and handbooks; directories; announcements of University programs and other promotional material; letterheads, forms, and other service printing.

The services offered by the Office of University Publications are consultation as to production methods; editing; estimate of cost and production time; design, layout, and art work; and supervision of all stages of production. Typesetting, printing, and binding are contracted out to various firms through the office, and are billed to the University appropriation number specified on the printing order. There is no charge for consultation, editing, design, and supervision. It is the joint responsibility of the author, the editor, and the designer to conform to University regulations governing content, format, and style of all printing and publications.

The bulletins (in other universities usually called catalogues) and the official handbooks of the University are produced by the bulletins editors in the office. The dean or director of each University division which issues a bulletin is considered the author; the section on bulletins in the *Manual* of the Office of University Publications and the instruction sheets prepared by the bulletins editors are the author's guide to regulations and procedures for preparing the bulletin for publication.

Schedules are made each year by the bulletins editors in consultation with the authors.

The bulletins of Barnard College and Teachers College are not produced in the Office of University Publications.

▶ PURCHASING OFFICE

The ordering of supplies, equipment, and services is made through the Purchasing Agent. A requisition form (supplied by this office) is filled out, signed, and forwarded to Box 181, Central Mail Room.

Purchases otherwise made are the personal responsibility of the person placing the order, although small purchases out of petty cash are permitted when necessary.

When suppliers' invoices are forwarded to the recipient of the purchase for assurance that the order has been received in good condition, they should be returned promptly to the Controller's Office for payment.

The Purchasing Agent's staff help the departments through their knowledge of sources of supply and experience with previous purchases. Faculty members who wish to make purchases of household or other goods for themselves may also obtain information about dealers, quality, price, and other advantages.

▶ RECORDS

See Alumni Records Center, *page 59*, Publications of the University, *pages 74–75*, *and* Secretary of the University, *pages 9 and 78*.

▶ RECREATION AND ATHLETICS

With the completion of the Marcellus Hartley Dodge Physical Fitness Center on the Morningside campus in late 1974, Columbia is able to provide students, faculty and staff members, and alumni with excellent recreational and athletic facilities. In the new gymnasium complex are an eight-lane, twenty-five-yard swimming pool; a wrestling room; three full-sized basketball courts; seventeen combination squash-handball courts; and sauna facilities.

In the adjoining University gymnasium, there are additional facilities: a two-level weight lifting and physical fitness room, a ten-lap running track, a five-lane swimming pool, basketball courts, a fencing area, and locker rooms.

Hours of operation for recreational use are coordinated with physical education, intramural, and intercollegiate athletic hours.

In addition to the facilities on campus, Columbia maintains an outdoor athletic complex at Baker Field, 218th Street and Broadway. Fields used by football, baseball, and soccer teams and a quarter-mile running track are available, upon advance reservation, for recreational use.

The Columbia Tennis Club is also at Baker Field. Membership is limited to Columbia-affiliated personnel. Reduced-rate memberships are available to faculty and staff members. In addition, ten hard-surface tennis courts in Riverside Park at

120th Street are available to Columbia faculty members and staff upon payment of a fee to the Department of Parks, Arsenal Building, 65th Street and Fifth Avenue.

Season tickets to football, basketball, and indoor sports contests at special faculty rates are also available.

Additional information on the recreation and athletics program may be obtained from the Physical Education and Intercollegiate Athletics Department.

► REGISTRAR'S OFFICE

The Office of the Registrar, in 208 Philosophy, makes all classroom assignments. The principles governing the assignment of classrooms are as follows:

1. The Registrar assigns space in all classrooms of the University, but schools and departments normally have priority in the use of rooms and other facilities near their central offices. This priority may nevertheless be abrogated if it conflicts with efficient utilization of space.
2. Wherever possible, rooms for courses will be assigned in or near the building where the instructor has his office.
3. In assigning rooms for new courses, the Registrar's Office will consult the department chairman or dean concerned to ascertain the room desired and the expected course enrollment.
4. Courses will be assigned only to rooms with capacities corresponding approximately to the enrollment in these courses during the previous two years, except when a department has reason to expect a marked decline or increase in enrollment.
5. Should a conflict occur between the principles stated in the first three items above and that which is described in item four, the relationship of course enrollment to classroom capacity will determine the room assignment. But courses that require specially equipped classrooms will be assigned to such classrooms, even though the course enrollment may be small.

The Registrar's Office also records the individual student's course enrollment, attendance, and grades. It certifies students for graduation in accordance with the stated requirements and issues transcripts of student records for official use. Students' bills are assessed by the Registrar before payment to the Students' Accounts Division of the Controller's Office. The Registrar's Office prepares and issues diplomas and schedules course examinations. The Student Aid Certification Division of the Registrar's Office handles certification to state and federal agencies for students who are receiving financial assistance under Veterans Administration benefits, New York State scholarships, the New York State Tuition Assistance Program, or one of the many other plans in effect. Certifications to local draft boards under the Selective Service Act are also handled by this unit.

A branch of the office serves the schools and programs at the Columbia Presbyterian Medical Center.

► REID HALL

Reid Hall, at 4, rue de Chevreuse in the Montparnasse section of Paris (zip code 75006), is an American university center administered by the University. It houses

Columbia-Barnard semester-institute and junior year programs, as well as study abroad programs sponsored by other American universities. The Director of Studies in Paris is a Columbia or Barnard professor.

Limited hotel space at Reid Hall may be reserved for Columbia-affiliated visitors to Paris on academic or official business.

► RELIGIOUS ACTIVITIES

The focus of religious activities on campus is in the Earl Hall Center. The Center's principal task is the promotion of programs and activities which contribute to the religious and ethical vitality of the University community. Nonsectarian and nondenominational, its facilities consist of two buildings, Earl Hall and St. Paul's Chapel. The Center is staffed by University and non-University personnel under the supervision of a University-appointed director. The Center sponsors and makes its facilities available for a variety of activities: general and personal counseling; denominational religious observances and certain ecumenical services; weddings and memorial services; the activities of some thirty-five affiliated student groups; a program of organ recitals and instrumental concerts in St. Paul's Chapel; a variety of study groups, workshops, and seminars on theological topics and moral issues, which are directed by either University personnel or members of the clergy who are affiliated with the Center; a program for foreign students; and an office for volunteer work in the city.

Members of the University community are welcome to visit the Center on the Morningside campus and take part in the services held in Earl Hall (Broadway and 117th Street) and in St. Paul's Chapel (Amsterdam Avenue and 117th Street). Regular worship schedules are maintained by the Adventist, Christian Scientist, Episcopalian, Jewish, Lutheran, Muslim, Roman Catholic, and Eastern Orthodox religious communities. Further information may be obtained from Earl Hall. The staff particularly welcomes opportunities to discuss issues of social concern with other members of the University.

► RELIGIOUS HOLIDAYS

It is the policy of the University to respect its members' observance of their major religious holidays. Officers of administration and of instruction responsible for the scheduling of required academic activities or essential services are expected to avoid conflict with such holidays as much as possible. Such activities include examinations, registration, and various deadlines that are a part of the academic calendar.

Where scheduling conflicts prove unavoidable, no student will be penalized for absence due to religious reasons, and alternative means will be sought for satisfying the academic requirements involved. If a suitable arrangement cannot be worked out between the student and the instructor involved, students and instructors should consult the appropriate dean or director. If an additional appeal is needed it may be taken to the Provost.

Officers of instruction wishing to be excused from duties in conflict with the observance of major religious holidays must make arrangements with their department chairmen to provide alternative instruction or consultation without substantial inconvenience to students or colleagues.

▶ ST. PAUL'S CHAPEL

See Religious Activities, *page 77.*

▶ SECRETARY OF THE UNIVERSITY

The Secretary of the University is responsible for maintaining the official corporate records of the University, including the agenda and minutes of the meetings of the Trustees and their Standing Committees, the minutes of the University Senate and of the several faculties, the Charter and Statutes of the University, and the By-Laws and Rules of Order of the Trustees, the University Senate, and the several faculties and departments. (See also SECRETARY OF THE UNIVERSITY, page 9.)

The Secretary issues all letters of appointment for officers of instruction and research, informs them of grants of promotion, salary increase, leave of absence, and sabbatical, notifies them of acceptances of resignation, approvals of retirement, and assignments to faculties, and maintains records of service, including dates of service, salary, leaves, faculty assignments, and special services. All officers of instruction, under New York State Law, must sign an oath of allegiance which is kept on file in the Office of the Secretary. (See also OATH OF ALLEGIANCE, page 38.)

Letters of introduction bearing the seal of the University are available to those officers of instruction holding appointments from the Trustees or the President who plan to travel abroad. The "Blue Seal Letter" is helpful in gaining access to research materials and services at other institutions. Requests should specify the country(ies) to be visited.

Copies of *The Faculty Handbook, The Guide to Newcomers,* the Charter and Statutes of the University, the By-Laws and Rules of Order of the Trustees, and the by-laws of the several faculties and departments are on file in the Office of the Secretary and are available upon request.

▶ SECURITY OFFICE

The protection of the buildings, grounds, and property of the University is the direct responsibility of the University Security Office, 111 Low Memorial Library, though it is a responsibility shared by everyone employed by the University. The Office is in charge of the University security force and night watchmen, and is ready to assist all departments on all occasions that may require police or other security-related action. Guard supervisors, who are on duty at this headquarters, can be reached at any time of day or night (call extension 2796).

Experience of the metropolis suggests that the following rules for the protection of property must be observed and suffer no exceptions:

1. An unattended room must be locked, even during an absence of a few seconds.
2. Handbags, cash boxes, and other valuables must be kept out of sight in locked drawers or cabinets. Currency on hand should be kept to an absolute minimum.
3. Equipment, such as office machinery, should be bolted down or otherwise secured, and a record kept of serial numbers.
4. The distribution of keys to buildings and offices must be limited to as few persons as possible.
5. Prompt and full reports of thefts must be made. The Security Office and the city police will require a detailed account of all the circumstances.

ACCESS TO BUILDINGS

At night and on Sundays and holidays, campus buildings are locked except for Low Memorial Library, which can be entered only by the southeast door, via the Security Office. Access to other buildings may be had only upon application to the security supervisor by persons in possession of "key cards," which are obtained from the Office of Buildings and Grounds on the recommendation of department chairmen. (See KEY CARD below.)

IDENTIFICATION CARD FOR FACULTY AND STAFF MEMBERS

All full-time staff and faculty members must have a photograph Identification Card (I.D. card) for general identification on the campus, in order to use the libraries, and for check cashing at University facilities.

The Controller's Office issues to each new employee a cardboard Identification Card that certifies that he or she is on the Columbia payroll. With the cardboard Identification Card, the new employee obtains a camera card from 313 Low Memorial Library and is photographed in 235 Butler Library.

Each autumn, the Controller's Office issues a renewal permit to every full-time employee of the University already holding a photograph Identification Card. With the renewal permit and the photograph Identification Card, the employee goes to 235 Butler Library for revalidation, which extends for one year the validity of the card.

KEY CARD

An officer of the University who must use his or her office or laboratory on weekends or holidays should obtain authorization from the department chairman for a key card, which is then supplied by the Security Officer, 313 Low Memorial Library. This card, when presented at the Security desk, 111 Low Memorial Library, will be exchanged for a key giving access to the locked building for that day. The key is for the use of the cardholder exclusively; he should take care not to admit strangers to the building and make sure that the door locks after he enters and leaves the building. The key must be returned the same day it is borrowed. Upon the return of the key, the card is restored to its owner.

EMERGENCIES AND ACCIDENTS

For assistance in all emergencies and accidents involving the physical plant, such as fire, flooding, leaks, accidents and security matters, *during normal working hours,* call *extension 5555. After hours* and on weekends and holidays, call the Security Office, *extension 2796.*

▶ SMOKING REGULATIONS

The New York City health code regulations prohibit smoking in classrooms and elevators and in dining rooms and places of public assembly (except in designated areas); appropriate signs are posted.

▶ STUDENT AFFAIRS

The Deputy to the President for Student Affairs handles student problems that cannot be resolved through normal institutional channels. In addition, the Office of Student Affairs oversees student organizations and maintains a list of registered student groups. Proposals concerning student life, when more than a single division of the University is involved, are handled by the Office.

The Proctor of the University works closely with the Deputy to the President for Student Affairs. In addition, the Proctor is usually present at University gatherings to insure that the rights of all participants are protected.

▶ TELEPHONE FACILITIES AND BILLS

All staff and faculty members are expected to use office telephones for University business only. Telephone calls made in connection with research projects sponsored by the University must be charged to the grant. Telephone calls made in connection with privately sponsored research projects are considered personal calls and must be paid by the officer of instruction. Suburban and long-distance calls are charged to the extension from which the calls originate. All charges for personal calls must be paid to the University by the officer of instruction or staff member when the telephone bill is rendered quarterly. The chairman of the department must obtain reimbursement from the officers of instruction before authorizing the quarterly bill for payment.

▶ UNIVERSITY CENTER FOR COMPUTING ACTIVITIES

The University Center for Computing Activities provides computational and data processing services for administrative, instructional, and research projects across the University. All users are billed for their use of the Center. These bills may be paid either in dollars (for sponsored projects and external users) or, to the extent available, in accounting units allocated by the University to faculties, departments, and administrative divisions.

Applications for project authorizations and accounting units may be obtained from the Center. The application for accounting units must be approved and countersigned by the appropriate dean, director, or department chairman.

The Center maintains a large batch-processing computing facility, with limited remote text-editing and interactive computing abilities. Since 1969 this facility has consisted of coupled IBM 360/91 and 360/75 central processing units, operating under OS/ASP. The Model 91 contains 2,000,000 bytes of high-speed core and Model 75 contains 500,000 bytes of high-speed core and 2,000,000 bytes of low-speed core. Peripherals are shared.

► UNIVERSITY SEMINARS

Founded in 1945 by nineteen Columbia colleagues, the University Seminars (not to be confused with departmental seminar *courses*) are groups of scholars and specialists from the University and other academic institutions as well as experts from the nonacademic community. They meet regularly for the exchange of knowledge and experience concerning subjects of permanent interest. There are now over seventy such interdisciplinary seminars, with participants from faculties of more than two hundred colleges and universities and almost two hundred fifty nonacademic organizations. Membership is by invitation. Advanced students are sometimes invited to join a University Seminar. A list of these seminars is given in the bulletin of the Graduate School of Arts and Sciences.

► VISITOR SERVICES

See Information and Visitor Services, *page 65.*

Appendix I

STATEMENT ON PROFESSIONAL ETHICS AND FACULTY OBLIGATIONS

(adopted by the University Senate, September 29, 1972)

I. THE TEACHER. The freedom traditionally accorded to a faculty member to decide for himself* in large measure what he teaches, and how he treats his subject, imposes upon him a special obligation to exercise self-discipline. He should therefore make every effort to be accurate, to be objective, to demonstrate appropriate restraint, and to show respect for the rights of others to hold opinions differing from his own. An instructor should not persistently include material that has no relation to the subject matter of his courses as announced to his students. He should not enroll or refuse to enroll students in his courses on the basis of their beliefs or otherwise discriminate among them capriciously. His evaluation of his students and his award of grades and credit should be based on academic performance professionally judged, and not on matters irrelevant to that performance. When grades or other evaluations of academic performance are required, he should provide the University with such grades or evaluations of each student in his class. In addition to his duty to meet his classes, a faculty member should make himself regularly available to students outside the classroom. If a faculty member is unable to meet a class, he should offer alternative instruction to satisfy his students' expectations and his contract with the University; this obligation can be met in various ways, and the method adopted should be endorsed by his Department Chairman or Dean. He should avoid exploitation of students or junior colleagues for his private advantage and should publicly acknowledge all significant assistance from them. He should respond conscientiously to requests by students or former students that he act as reference; yet he should respect the confidential nature of his relationship to them.

II. THE COLLEAGUE. Each faculty member shares responsibility for the governance of the University and for the preservation and maintenance of an atmosphere of scholarship and rational discourse. He should join in the broadest possible search for academic talent, and in the appointment and promotion of the best qualified candidates. No faculty member should intentionally use his position to cause interference with personal security, property, or freedom of movement, expression, and assembly on campus. A faculty member should acknowledge indebtedness to other scholars, and he should strive to be objective in his professional judgment of colleagues or potential colleagues upon whose appointments or retention his opinion may be invited. A senior faculty member should stand ready to counsel junior colleagues and place his experience at their disposal. A faculty member should assess the amount and character of any obligations he assumes outside the University with due regard to his paramount responsibilities within it. He must cooperate with the University in observing the University's Statutory Regulations governing research. When he speaks or acts as a private person, he should avoid creating the impression that he speaks or acts for the University.

III. IMPLEMENTATION. Self-discipline should be the keynote and will ordinarily suffice. Nevertheless a University has the right to see that reasonable rules and regulations, consistent with the principles enunciated herein, are observed. At Columbia, in case of need, persuasion and reproof are exercised upon a faculty member by his Department Chairman. In more serious cases academic discipline rests with a Dean, and ultimately with the Vice President or the President of the University. Sanctions may be imposed upon a faculty member by administrative action; if the faculty member feels such penalty to be unjust, he has access to the grievance machinery of the Faculty Affairs Committee of the Senate and may request mediation. No penalty involving dismissal from the University or other serious sanction can be made effective except in accordance with the provisions of the University's *Code of Academic Freedom and Tenure.*

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* Read, in all instances, "himself or herself," etc.

Appendix II

University Statutes
Chapter VII

CODE OF ACADEMIC FREEDOM AND TENURE

§70. Academic Freedom. a. Academic freedom implies that all officers of instruction are entitled to freedom in the classroom in discussing their subjects; that they are entitled to freedom in research and in the publication of its results; and that they may not be penalized by the University for expressions of opinion or associations in their private or civic capacity; but they should bear in mind the special obligations arising from their position in the academic community.

b. *Officers of Instruction.* As used in this Chapter, "officer of instruction" means any person whose appointment in the Columbia Corporation is primarily for teaching, whether full-time or part-time, with or without tenure, whatever his or her title or type of appointment held, and whether or not assigned to membership in any Faculty. Where the provisions of this Chapter apply only to full-time officers of instruction, or only to those with tenure, necessary qualification is made.

§71. Tenure. a. *Definition.* To protect their academic freedom, officers of instruction are granted term appointments (i.e., for a specified length of time), during the currency of which they cannot be dismissed without cause; or appointments with tenure (i.e., without stated term), in which case they cannot be dismissed without cause prior to the specific age at which they are subject to mandatory retirement (Section 72e), except in either case in extraordinary circumstances in case of Discontinuance of a Unit (Section 74).

b. *Eligibility and Time Limit.* No officer of instruction shall be appointed or reappointed for full-time service for a period longer than seven consecutive years unless granted tenure, except that when, with the special permission of the Executive Vice President for Academic Affairs and Provost, the departmental recommendation of an officer for promotion to tenure is not reviewed by an *ad hoc* committee until the officer's seventh year of service and, after receipt of the recommendation of the *ad hoc* committee, the appointment is not approved by the President or the Trustees, the officer may be reappointed for an eighth and terminal year of service and shall not be deemed to have tenure as a consequence of such reappointment. Any officer of instruction with a full-time appointment whose teaching obligation has for any reason been lightened by the appropriate officials will still be considered a full-time officer. Part-time service, discontinuous full-time service, service elsewhere than at Columbia University, and certain leaves of absence (as provided in Section 71f) shall not count in setting the seven-year limit; however, part-time service of officers given career appointments under Section 71c shall count toward the limit in the manner there prescribed.

c. *Part-time Career Appointments for Parents.* To enable persons who are professionally committed to University service to care for their children, departments may make part-time career appointments of eligible persons to junior ranks leading to tenure. Persons shall be eligible for this status only if they have one or more children under nine years of age at the beginning of the first academic year for which part-time career status is held. They must be primarily responsible for the raising of these children and must plan to spend a very substantial amount of time in that capacity. Eligible persons may be originally appointed to part-time career status or, with the consent of their departments, may change from full-time to part-time career status, or *vice versa.* Because of the purpose for which, and the circumstances in which such status is accorded, holders of such appointments are expected not to engage in gainful employment outside the University. Each year of part-time career status shall be counted as one-half year of full-time service in calculating the seven-year limit on appointments without tenure.

d. *Term Appointments.* All officers of instruction without tenure shall initially be appointed for one year. Reappointment of full-time officers so appointed with at least one year of residence at Columbia University may be for one, two or three years. However, at the conclusion of any term appointment, an officer of instruction may with due notice be offered a one-year terminal appointment, even though such appointment will not complete seven years of service. In no case will term appointments continue beyond seven years of full-time continuous service, except as provided above (Section 71b) and except as provided below for a transition period ending in 1975. Any officer of instruction appointed for an eighth or subsequent year of full-time continuous service shall, except as provided above (Section 71b), be deemed to have tenure (i.e., to have an appointment without stated term) regardless of his or her University title, salary or other conditions of employment, and whether or not the appointment has been considered by an *ad hoc* committee; *provided, however,* that prior to July 1, 1974, no officer of instruction in his eighth year of continuous full-time service shall be deemed to have tenure on account of length of service; and provided further that prior to July 1, 1975, no officer of instruction in the Faculties of Medicine or of Dental and Oral Surgery who began full-time service July 1, 1960, or later but prior to July 1, 1968, shall be deemed to have tenure on account of length of service. Time periods specified in this subparagraph shall run from the beginning of continuous full-time service, whether that occurred before or after June 30, 1972.

e. *Formal Consideration for Tenure.* A full-time officer of instruction holding a term appointment may be considered by his or her department for tenure at any time. If he or she is reappointed and reaches the fourth or fifth year of full-time service, the officer of instruction must, if he or she so requests, be considered for tenure during such year of service. Such an officer must be considered for tenure in any case not later than the end of the penultimate (i.e., sixth) year of his or her full-time service, in order that sufficient time may be allowed so that (1) if the departmental decision is favorable, budgetary approval may be given and approval by an *ad hoc* committee (where applicable) concluded prior to May 31 of the following (i.e., his or her seventh) year of service; and so that (2) if the decision of the department is unfavorable, the officer can be given clear and unambiguous notice, in writing, of his or her reappointment for a seventh and terminal year of service, not later than May 31 of his or her sixth year of service; and so that (3) if the departmental decision is favorable but the decision of the *ad hoc* committee is unfavorable, or if a tenure appointment is not granted by the President or the Trustees, the officer can be given clear and unambiguous notice, in writing, of the decision and notification of his or her reappointment for an eighth and terminal year of service before the end of his or her seventh year of service. If the department's decision is unfavorable, the officer may ask for a written statement of reasons, in response to which request the Chairman of the Department must state in writing his or her belief as to the reasons for the department's decision.

f. *Leaves of Absence (Term Appointments).* Upon written request, and with the approval of his or her department and the Dean of his or her Faculty, a full-time officer of instruction holding a term appointment of professorial rank may be granted leave of absence of a period up to and including one academic year. If specifically requested and approved, the first such leave will not count as part of the maximum number of years of service allowed for term appointments provided above (Section 71b). Subsequent leaves of absence shall normally count as part of the maximum number of years allowed for term appointments. However, the President or his deputy, upon written request from the officer of instruction and with the approval of his or her department and the Dean of his or her Faculty, may rule that the leave of absence is not to count for this purpose. Leaves do not constitute a break in continuous service. This subparagraph does not apply to medical or military leaves or to exemption from teaching duties.

g. *Exceptions.* Subparagraphs (b), (d), and (e) of this Section shall not apply to members of the Faculties of Medicine or of Dental and Oral Surgery who hold clinical titles or titles indicating an appointment in an affiliated hospital or institute.

§72. Appointment, Reappointment, Resignation and Retirement. a. *Written Appointments.* Terms and conditions of every appointment or reappointment of an officer of instruction will be stated or confirmed in writing by the Chairman of the Department at the time the offer of appointment or reappointment is made. The notification will state whether the appointment or reappointment is for full-time or for part-time service. All written communications by a Chairman of a Department stating the terms and conditions of an offer of appointment or reappointment shall state that the offer of appointment or reappointment is made subject to the approval of the Trustees, the President or the Secretary, as the case may be with respect to the proposed appointment or reappointment, and shall be approved in advance of delivery by the Dean of the Faculty in which the appointment or reappointment is proposed to be made.

b. *Notice of Renewal.* Every full-time officer of instruction holding a term appointment will, if reappointed, be so informed in writing. Notification of renewal should follow the time schedule outlined in Section 72c below. Notification of the terms and conditions of renewal of a term appointment should be made by March 15, and in no case later than May 1, unless the President has announced delay in formal approval of the University budget for the next academic year. [Note: The provisions of this subparagraph have been suspended by the Trustees until the President notifies the Trustees that administrative budgeting procedures have been developed to ensure that the University budget and appointment procedures shall be completed by March 15 of each year.]

c. *Notice of Nonrenewal.* Written notice to a full-time officer of instruction who holds a term appointment, informing him or her that his or her appointment is not to be renewed, will be given in advance of the expiration of his or her appointment, as follows: (1) not later than March 1 of the first academic year; (2) not later than December 15 of the second academic year of full-time service, if the appointment expires at the end of that academic year; (3) at least twelve months before the expiration of an appointment after two or more years of full-time service at Columbia University. The provisions of this subparagraph (c) shall not apply to members of the Faculties of Medicine or of Dental and Oral Surgery who hold clinical titles or titles indicating an appointment in an affiliated hospital or institute.

d. *Notice of Resignation.* A full-time officer of instruction who wishes to resign at the end of the academic year should give notice in writing at the earliest possible opportunity, but not later than April 1, or thirty days after receiving notification of the terms of his or her appointment for the coming year, whichever date occurs later. The officer of instruction may properly request a waiver of this requirement of notice, in case of hardship or in a situation in which he would otherwise be denied substantial professional advancement or other opportunity.

e. *Retirement.* Every officer of instruction shall retire from active service on June 30 following his or her 68th birthday, except that any member of the staff of an affiliated hospital or institute appointed as an officer of instruction or research shall retire from active service in the University on June 30 next after he or she attains the age of 68 years or in accordance with the mandatory retirement age specified by the affiliated hospital or institute, whichever date shall be earlier. Any retired officer of instruction may be appointed annually to render special service to the University.

f. *Disability.* The University may at any time retire an officer of instruction on clear and convincing medical grounds. If the officer of instruction denies such grounds and claims continued fitness, he or she may appeal to the University Senate Committee on Faculty Affairs, Academic Freedom and Tenure ("The Faculty Affairs Committee"), which will attempt to resolve the matter. If the officer of instruction is still not satisfied, he or she may ask for a hearing (Section 75). A full-time officer of instruction who is retired by the University on medical grounds shall be entitled to one year's salary, less benefits received under the University's group disability insurance. The President will determine what, if any, additional payments should be granted to meet unusual needs.

§73. Grievance Procedures. a. *General.* Where an officer of instruction has a grievance against his or her department, or against the University administration, he or she should complain in writing to the University Senate Committee on Faculty Affairs, Academic Freedom and Tenure ("The Faculty Affairs Committee"). The Faculty Affairs Committee may inquire into the matter and mediate between the officer and the department, or between the officer and the University administration.

b. *Reappointment and Promotion.* If any officer of instruction holding a term appointment (including instructional appointments restricted to graduate students) alleges that discrimination because of race, color, religion, sex, age or national origin, prejudice or violation of academic freedom significantly contributed to a decision not to reappoint him or her, or not to promote to tenure, or alleges that procedures were defective in reaching a decision not to promote to tenure, or alleges that student opinion as to his or her teaching ability was not effectively sought in reaching a decision not to promote to tenure, he or she may complain in writing to the Faculty Affairs Committee, stating the grounds for the allegation. These are the only grounds on which the Faculty Affairs Committee will recognize a challenge to such a decision. If they are alleged, the Faculty Affairs Committee will inquire into the circumstances and may make recommendations for resolving the dispute. If the matter remains unresolved, and if, but only if, the Faculty Affairs Committee finds substantial grounds for believing that a violation of academic freedom or discrimination because of race, color, religion, sex, age or national origin has occurred, it may provide for a formal hearing (Section 75). However, in such case the burden of proof shall rest upon the complainant.

§74. DISCONTINUANCE OF A UNIT. a. *General.* The *bona fide* discontinuance of a unit of instruction on account of demonstrated serious financial exigency is the only circumstance that should make possible the termination, outside the dismissal procedures defined in Section 75, of the appointment of an officer of instruction with tenure. The unit must be large enough to exclude the possibility that the discontinuance could be aimed at specific individuals. Termination of appointments under this Section may not be used to redeploy resources in those cases where attrition over a period of time is a reasonable alternative. The broad issues involved in any discontinuance must have been reviewed by the University Senate. The provisions of this Section are not intended to prevent the University from altering its educational policies by means other than abrogation of appointments; nor are they intended to encourage major redeployment without due consultation. Moreover, any merger, consolidation, or similar reorganization of two or more units of instruction into a single such unit, which continues to provide instruction in the same or equivalent subject areas, shall not constitute a discontinuance of the preexisting units that could justify the termination of appointments under the provisions of this Section.

b. *Tenure Faculty.* If a unit of instruction within the University is discontinued, every holder of a tenure appointment currently assigned to the unit affected should be placed in a suitable position elsewhere in the University. In the extreme case where the administration, after making a *bona fide* effort to reassign an affected officer of instruction, concludes that the only feasible course of action is to terminate the latter's appointment, it shall give him or her at least twelve months' notice, or one year's severance salary in lieu thereof. Prior to any such decision to terminate, the administration shall notify the Faculty Affairs Committee of the reasons why reassignment is not feasible and the Committee shall be given an opportunity to discuss the matter. When the appointment of an officer of instruction with tenure is terminated because of the discontinuance of his or her unit, for a period of at least five years his or her place shall not be filled by a replacement, unless he or she has first been offered reappointment and a reasonable time in which to accept or decline such reappointment.

c. *Nontenure Faculty.* An officer of instruction holding a term appointment, whose unit of instruction has been discontinued, shall not be terminated with less notice than is prescribed in Section 72c.

§75. DISMISSAL PROCEDURES. a. *Definition of Dismissal.* Termination of an appointment with tenure, or of a term appointment before the end of the specified term, or of an appointment with special conditions (e.g., as visiting, retired, or emeritus professor) before the end of the specified term, shall be considered a dismissal and shall be effected only in pursuance of the procedures specified below; except that an officer of instruction who is charged with a violation of the Rules of University Conduct, and who chooses to accept jurisdiction of a Board of Inquiry, shall thereby lose his right to be judged, and shall not be charged, according to the provisions of this Section.

b. *Grounds for Dismissal.* No dismissal shall be effected by the University except for adequate cause. By "adequate cause" is meant the clear manifestation by an academic staff member of his or her professional unfitness for the position. Evidence to demonstrate professional unfitness, under the above standard, may include, but is not limited to, evidence of gross inefficiency, habitual and intentional neglect of duty, or serious personal misconduct.

c. *Preliminary Actions.* (1) When reason appears to question the fitness of an officer of instruction, the President should discuss the matter with him or her in a personal conference and explore the possibility of a mutually satisfactory settlement.

(2) If a settlement cannot be reached by this means, the matter should be referred to the Faculty Affairs Committee, which will attempt to use its good offices to effect a resolution acceptable to both parties.

(3) Should conciliatory and mediatory efforts fail, the President, if he or she so desires, may initiate formal action against the officer of instruction. Dismissal proceedings should be commenced by a written communication to the officer by the President or his or her representative, stating the particular charges, summarizing the evidence on which the charges are based, and informing the officer of the procedures set forth herein to determine whether he or she should be removed from his or her position on the stated grounds.

(4) The Faculty Affairs Committee shall receive a copy of the communication sent to the officer of instruction by the President or his or her representative.

(5) The officer of instruction should acknowledge the President's letter and indicate whether he or she wishes to contest the charges in whole or in part. If he or she wishes to contest the charges, the Faculty Affairs Committee shall arrange for a hearing.

(6) If a hearing is to be held, the Faculty Affairs Committee shall promptly inform the officer of instruction of the time and place of the hearing which it shall schedule in consultation with the faculty members who will hear the case.

(7) The hearing shall be scheduled for no sooner than fourteen days and no longer than twenty-eight days after the issuing of charges, unless compelling circumstances render such a timetable manifestly unattainable.

d. *The Hearing Committee.* (1) The Faculty Affairs Committee shall, as its first order of business every year, choose twenty officers of instruction from among the tenure faculty of the University (excluding those currently serving on the Faculty Affairs Committee) to constitute a panel of potential hearers. Competence and representativeness shall be the primary criteria used in their selection. Members of this hearing panel shall serve for two-year terms.

(2) When a case arises, the Faculty Affairs Committee shall select by lot five members of the panel that will serve as the Hearing Committee for that case. Each party shall have the right to two peremptory challenges; the Faculty Affairs Committee shall select required replacements from the same source and again by lot.

e. *Hearing Procedures.* (1) The Hearing Committee shall have the duty and the power to protect the integrity of the proceedings. It shall elect its own chairman. After consultation with the President and the officer of instruction, it shall exercise its judgment as to whether the hearing shall be public or private, except that the hearing shall not be public without the agreement of the officer involved. If the hearing is to be public, the Hearing Committee shall determine which media shall be admitted and what limits on attendance shall be set. It may, in the interest of preserving order, close a hitherto public hearing or change its site. At the request of either party or of the Hearing Committee, a representative of a responsible educational or other association shall be permitted to attend the proceedings as an observer.

(2) During the proceedings, the officer of instruction and the representative of the administration shall be permitted the assistance of counsel. The Hearing Committee may also avail itself of the assistance of counsel.

(3) A verbatim record of the hearing shall be taken and shall be accessible to both parties.

(4) Insofar as it is possible to do so, the administration shall secure the cooperation

of witnesses; it shall make available to the officer of instruction the necessary documents and other evidence within its control.

(5) The officer of instruction and the administration shall have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the Hearing Committee determines that the interests of justice require the admission of his or her testimony, the Committee will identify the witness, disclose his or her statement and if possible provide for interrogatories. Notwithstanding the foregoing sentence, if the Hearing Committee does not provide for interrogatories with respect to the proffered testimony of such a witness who will not or cannot appear, or if there is no response to any interrogatories directed to such a witness, the evidence of the witness shall not be received or considered by the Hearing Committee.

(6) The Hearing Committee will not be bound by rules of evidence applicable in a court of law, but may admit any evidence which in its opinion is of probative value in deciding the issues involved.

(7)' The burden of proof that adequate cause exists for dismissal rests with the administration and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

(8) The Hearing Committee shall base its findings of fact and recommendations for the disposition of the case solely on the hearing record.

(9) The Hearing Committee shall make explicit findings with respect to each of the charges presented.

(10) The Hearing Committee may recommend dismissal, a penalty short of dismissal, or no penalty, depending upon the substantiation or lack of substantiation of the charges, the presence or absence of extenuating circumstances, and the gravity of the proved offense. If it recommends dismissal, the Committee should also state whether the dismissal should be summary or with notice, or salary in lieu of notice; and, if the latter, for what period. The Committee shall in every case offer reasons for its recommendations.

(11) The Hearing Committee shall report its findings and recommendations simultaneously to the officer of instruction, to the President of the University, and to the chairman of the Faculty Affairs Committee.

f. *Review Procedures.* (1) If the President rejects the report of a majority of the Hearing Committee, in whole or in part, he shall state his reasons for doing so, in writing, to the Committee and to the officer of instruction and shall provide them with an opportunity to respond before asking the Trustees to review the case. If the officer of instruction rejects the report, he or she shall have the option of appealing directly to the Trustees.

(2) In reviewing the case, at the behest of the President or the officer of instruction, the Trustees shall be guided by the record of the hearing. They shall, however, provide opportunity for argument, oral or written or both, by the principals or their representatives, if requested and deemed necessary.

(3) Should the Trustees sustain the decision of the Hearing Committee, the proceeding will terminate at that point. Should they reject the decision of the Hearing Committee, the Trustees shall return the case to that Committee with specific objections in writing. The Hearing Committee shall then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Trustees shall make the final decision only after study of the Hearing Committee's reconsideration; they shall offer a reasoned opinion for a decision to overrule. The Faculty Affairs Committee shall receive the record at the conclusion of the proceedings.

g. *Suspensions.* (1) Until final decision has been reached, the officer of instruction shall not be suspended from his or her duties, or assigned to other duties, unless immediate harm to himself or herself or others is threatened by continuance of his or her normal service.

(2) The decision as to whether immediate harm is threatened shall be made by the President of the University, but not until after he or she has consulted the Faculty Affairs Committee. A suspension can be effected only by the President or his or her duly authorized representative. An interim suspension, as provided in Section 75g(1), while the case is being decided, shall be with pay. A suspension imposed as a penalty short of dismissal, as provided in Section 75e(10), shall be without pay.

Appendix III

University Statutes
Chapter XL

EXTERNALLY FUNDED RESEARCH AND INSTRUCTION

§400. **Regulations.** a. The University shall enter into only such agreements for the support of research or instruction (whether in the form of contracts or of acceptance of the terms of grants or gifts) as do not confer power upon any external party, public or private, either to censor or to exercise effective veto on (1) the contents of instruction, or (2) the publication or other dissemination of results and conclusions arising from research or instruction, or to require delay for an unreasonable time before such publication or dissemination of results is permitted. The foregoing sentence is not to be construed to apply to the designation of purpose inherent in the acceptance of funds for specific research or instructional purposes or subjects.

b. The University shall enter into only such agreements for the support of research or instruction as do not permit any external party to determine the participation or non-participation, or the degree thereof, of individuals in such research or instruction in the University on grounds of political or religious beliefs, political or religious affiliations, race, color or sex. The foregoing sentence is not to be construed to apply to restrictions based upon citizenship.

c. The University shall enter into only such agreements for the support of research or instruction as do not require it, as a university, to participate in (1) handling or transmitting classified information, documents, material or equipment, or (2) processing the security clearance of any person or facility, or (3) controlling access to any information in accordance with any security regulation, whether public or private.

§401. **Existing Agreements.** Existing agreements that conflict with these Regulations shall be modified accordingly or terminated as soon as possible.

§402. **Exceptions.** Any exception to the Regulations must be approved in accordance with the following procedures:

a. By and with the advice and consent of the University Senate, the President shall appoint a Review Board consisting of seven members of whom three shall be members of the appropriate University Senate Committee and four shall not. Members of the Board shall serve for terms of three years, and any vacancies that happen shall be filled promptly by the President with the advice and consent of the University Senate. The members of the Review Board need not be members of the University Senate. The Review Board shall hear and review any application for a particular exception to these Regulations.

b. Exceptions in broad categories shall be made only by the University Senate after consideration and report by the appropriate University Senate Committee pursuant to Section 23e of the University Statutes.

c. If and when an exception is approved, this fact shall be promptly announced to the University community. The nature of the agreement and the reasons for the exception shall also be announced to the University community, unless there are serious and unusual reasons for withholding or delaying disclosures.

§403. **Application of Regulations.** The Regulations shall not apply to arrangements entered into by members of the University community in their individual capacities—arrangements to which the University is not a party.

1404. PROCEDURE. The Regulations shall be administered in accordance with the following procedure:

a. The Dean, Director or Chairman of each Faculty, Institute or Department of the University shall bring to the attention of each member of the Faculty, Institute or Department of which he or she is Dean, Director or Chairman who has expressed an interest in or who to the knowledge of such Dean, Director or Chairman has conducted similar research or instruction in the past any solicitations for contracts or grants to perform research or instruction addressed to the University and forwarded to the Faculty, Institute or Department or addressed directly to the Faculty, Institute or Department.

b. The office administering University projects and grants will examine each existing and proposed agreement for the support of research or instruction to which the University is or would be a party to determine if the terms of the agreement are or would be in conflict with the Regulations, as amended from time to time, and any particular exceptions previously made by the Review Board.

c. If the office administering University projects and grants determines that the terms of an agreement do not comply with the Regulations or particular exceptions previously made by the Review Board, then, at the request of the principal investigator of the proposed project, said office will apply to the Review Board for a particular exception to the Regulations. The Review Board will act promptly on any such appeal. If the application or the appeal is approved, the action will be announced to the University community by the Review Board and written authorization signed by the Chairman of the Review Board will be given to said office for acceptance of the agreement.

d. The office administering University projects and grants shall regularly make available basic information concerning grants and contracts awarded to the University to members of the University community who request or have requested such information, together with a brief abstract of the purpose of the grant or contract. The principal investigator of each grant or contract awarded to the University shall provide to the office administering University projects and grants a brief abstract of the purpose of each grant or contract awarded to him or her for dissemination to members of the University community who request or have requested information in accordance with the preceding sentence.

e. The principal investigator of each grant or contract awarded to the University shall forward to the office administering University projects and grants a copy of periodic progress reports of long term projects, and of the final report required to be filed pursuant to the terms of the project or grant, concurrently with the delivery of such reports to the contractor or granting agency. The office administering University projects and grants shall deposit all such copies or such reports in one or more Libraries of the University.

f. The University administration shall arrange for the communication to members of the University community through the appropriate University Handbooks and by other means, their research or instructional obligations and privileges, including the limitations on the use of University facilities for non-University activities contained in Section 5 of these Statutes.

g. Nothing in this Chapter shall be interpreted to require the University unilaterally to breach any existing agreement.

Appendix IV

POLICY STATEMENT ON CONFLICT OF INTEREST

The University exercises no set control upon a member's outside activities as consultant, writer, or specialist. But this freedom puts upon the member an obligation to keep these activities within such bounds, and to conduct them in such a manner, that the discharge of his primary responsibility to the University is not impaired.

The taking on of regular teaching assignments in other institutions is not allowed, except by special permission from the President through the appropriate dean. Moreover, when the University accepts funds in support of research or other projects, it acquires an obligation to recognize and safeguard the legitimate interests of the sponsor. Responsibility for the discharge of this obligation resides first with the individuals who participate in the sponsored project.

The University expects that a member will be alert to the possibilities of conflicts of interest in any form; that he will report promptly to his Dean, Department Chairman, or Project Director any circumstances which might involve or confront him with conflicts of interest; and that he will seek advice from the Director of the Office of Projects and Grants concerning the avoidance or the resolution of any conflicts of interest which might arise out of his participation in a sponsored project at the University.

For the further guidance of members of the University the following description of conflict situations, taken from a Joint Statement of the Council of the American Association of University Professors and the American Council on Education, is reproduced here:

A. CONFLICT SITUATIONS

1. *Favoring of outside interests.* When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest betweeen his Government-sponsored university research obligations and his outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

a. Undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;

b. Purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;

c. Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available (this would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of Government-sponsored research results where there is significant additional work by the staff member independent of his Government-sponsored research);

d. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities (the term 'privileged information' includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);

e. Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the university and private organizations with which he has consulting or other significant relationships;

f. Acceptance of gratuities or special favors from private organizations with which the university does or may conduct business in connection with a Government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

2. *Distribution of effort.* There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside consulting). The way in which he divides his effort among these various functions does not raise ethical questions unless the Government agency supporting his research is misled in its understanding of the amount of intellectual effort he is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his effort to the Government-sponsored research, or he agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his involvement is to be expected. Each university, therefore, should—through joint consultation of administration and faculty—develop procedures to assure that proposals are responsibly made and complied with.

3. *Consulting for Government agencies or their contractors.* When the staff member engaged in Government-sponsored research also serves as a consultant to a Federal agency, his conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202–209 as amended) and the President's memorandum of May 2, 1963, *Preventing Conflicts of Interest on the Part of Special Government Employees.* When he consults for one or more Government contractors, or prospective contractors, in the same technical field as his research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

On Preventing Conflicts of Interest
in Government-Sponsored Research at
Universities
December 1964

The foregoing statement, although directed specifically to conflicts of interest growing out of participation in government-sponsored research, is also illustrative of conflict situations wherein the government is not an interested party. The outside interests of a member of the University can come into similar conflict with those of any sponsor of activities in which he participates at the University, including cases where the University is the sole sponsor.

Deans, Department Chairmen, and Project Directors, being specifically charged with the duty of maintaining the integrity of institutional standards of instruction and research within their respective spheres of responsibility, are obliged to notify the President, through either the Vice President and Provost or the Vice President for Administration, if a member of the University is believed to abuse his freedom to engage in outside activities or to neglect in any way his primary responsibility to the University.

Appendix V

RESOLUTION CONCERNING
DISCLOSURE OF HIRING AND PROMOTIONAL INFORMATION

(adopted by the University Senate, December 14, 1973)

Whereas many nontenured faculty members have insufficient information concerning prospects for continued employment or tenure at the University,

Be It Resolved, that the Dean or Chairman of each School or Department take steps annually to furnish, preferably in writing but otherwise orally, to all full-time nontenured officers of instruction, information concerning present prospects and future plans for staffing the School or Department in question; such information to include, to the extent feasible, (1) the projected size of the full-time nontenured faculty of the School or Department, (2) the number of full-time nontenured faculty it hopes or expects to hire, and (3) the number of projected appointments to tenure (whether from inside or outside the University) that it hopes to make, given the information currently available.

Be It Further Resolved, that the Faculty Affairs Committee review practice in this matter at an appropriate time so that further recommendations may be made should this prove desirable.

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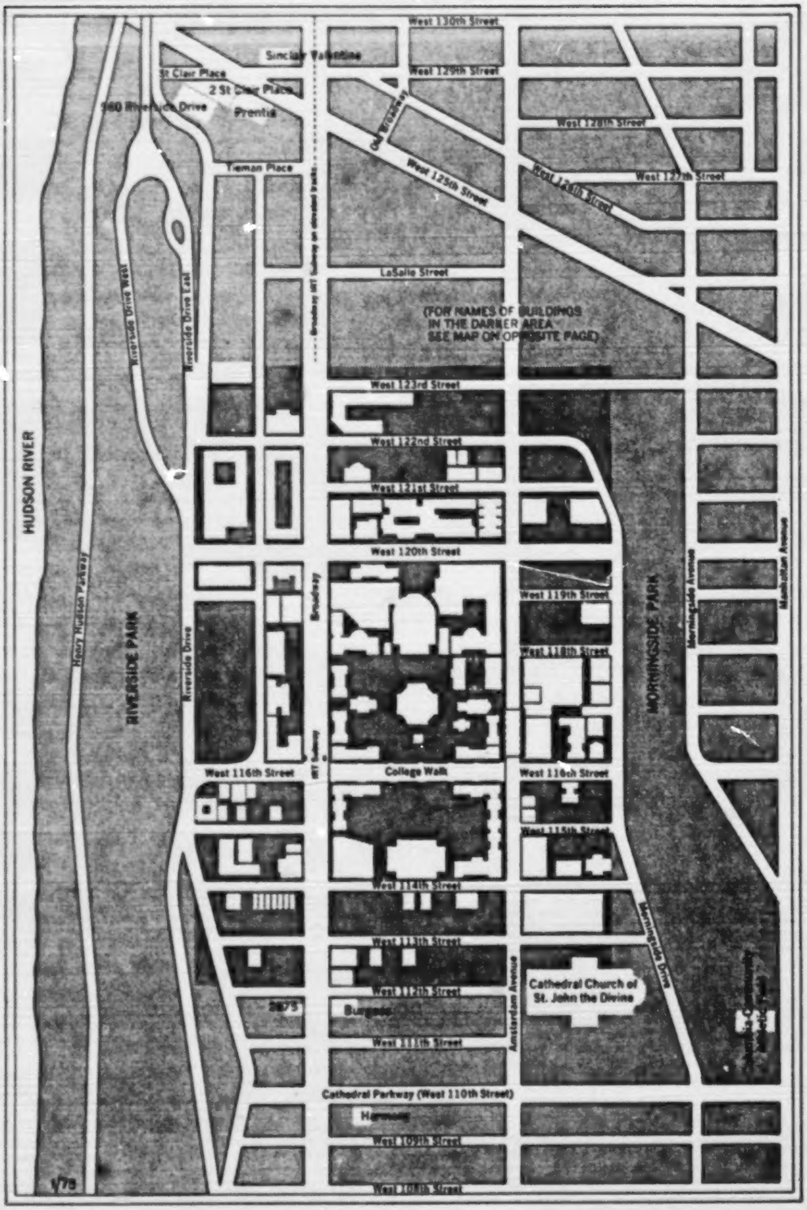
The Morningside Heights Area of New York City


West 130th Street
Sinclair Valentine
St Clair Place
2 St Clair Place
160 Riverside Drive
Prentis
West 129th Street
Old Broadway
West 128th Street
West 125th Street
West 126th Street
West 127th Street
Tieman Place
Broadway IRT Subway on elevated tracks
Riverside Drive West
Riverside Drive East
LaSalle Street
(FOR NAMES OF BUILDINGS
IN THE DARKER AREA
SEE MAP ON OPPOSITE PAGE)
West 123rd Street
West 122nd Street
West 121st Street
West 120th Street
HUDSON RIVER
Henry Hudson Parkway
RIVERSIDE PARK
Riverside Drive
Broadway
IRT Subway
West 119th Street
West 118th Street
MORNINGSIDE PARK
Morningside Avenue
Manhattan Avenue
West 116th Street
College Walk
West 116th Street
West 115th Street
West 114th Street
West 113th Street
Morningside Drive
West 112th Street
2875
Burgess
Amsterdam Avenue
Cathedral Church of
St. John the Divine
West 111th Street
Cathedral Parkway (West 110th Street)
Harmony
West 109th Street
West 108th Street
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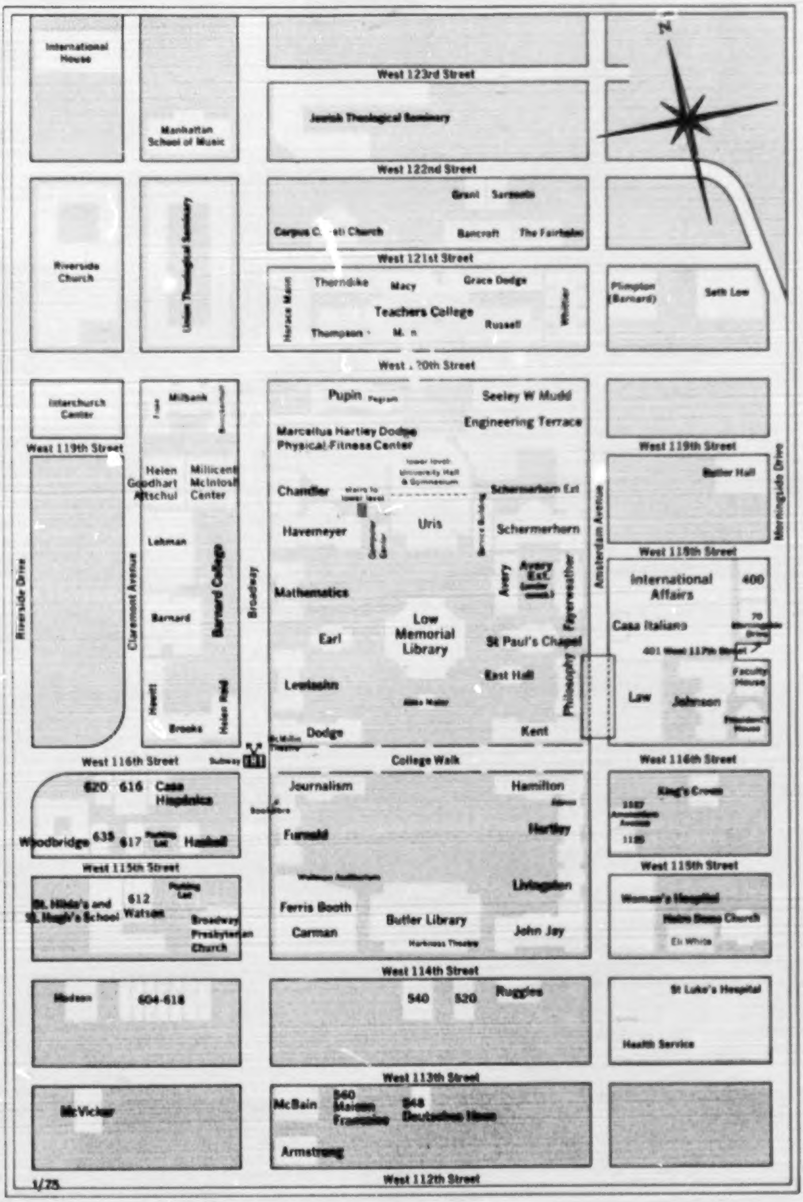
The Morningside Campus & Environs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International House
Manhattan School of Music
West 123rd Street
Jewish Theological Seminary
West 122nd Street
Grant
Sarasota
Corpus Christi Church
Bancroft
The Fairholm
West 121st Street
Riverside Church
Union Theological Seminary
Horace Mann
Thorndike
Macy
Grace Dodge
Teachers College
Thompson
Main
Russell
Whittier
Plimpton (Barnard)
Seth Low
West 120th Street
Interchurch Center
Milbank
Fiske
Brooks
Pupin
Seeley W Mudd
Engineering Terrace
Marcellus Hartley Dodge Physical Fitness Center
lower level: University Hall & Gymnasium
West 119th Street
Butler Hall
Morningside Drive
Helen Goodhart Altschul
Millicent McIntosh Center
Chandler
stairs to lower level
Schermerhorn Ext
Havemeyer
Uris
Schermerhorn
Lehman
Barnard College
Broadway
Claremont Avenue
Riverside Drive
Amsterdam Avenue
West 118th Street
International Affairs
400
Avery
Avery Ext.
Mathematics
Barnard
Low Memorial Library
Earl
St Paul's Chapel
Fayerweather
Casa Italiana
70 Morningside Drive
401 West 117th Street
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Livingston
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Notre Dame Church
St. Hilda's and St. Hugh's School
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Parking Lot
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Carman
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Harkness Theatre
Eli White
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520
Ruggles
St Luke's Hospital
Health Service
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McBain
560 Maison Française
548 Deutsches Haus
Armstrong
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